



# **“State of Assisted Living”**

Calendar Year 2012

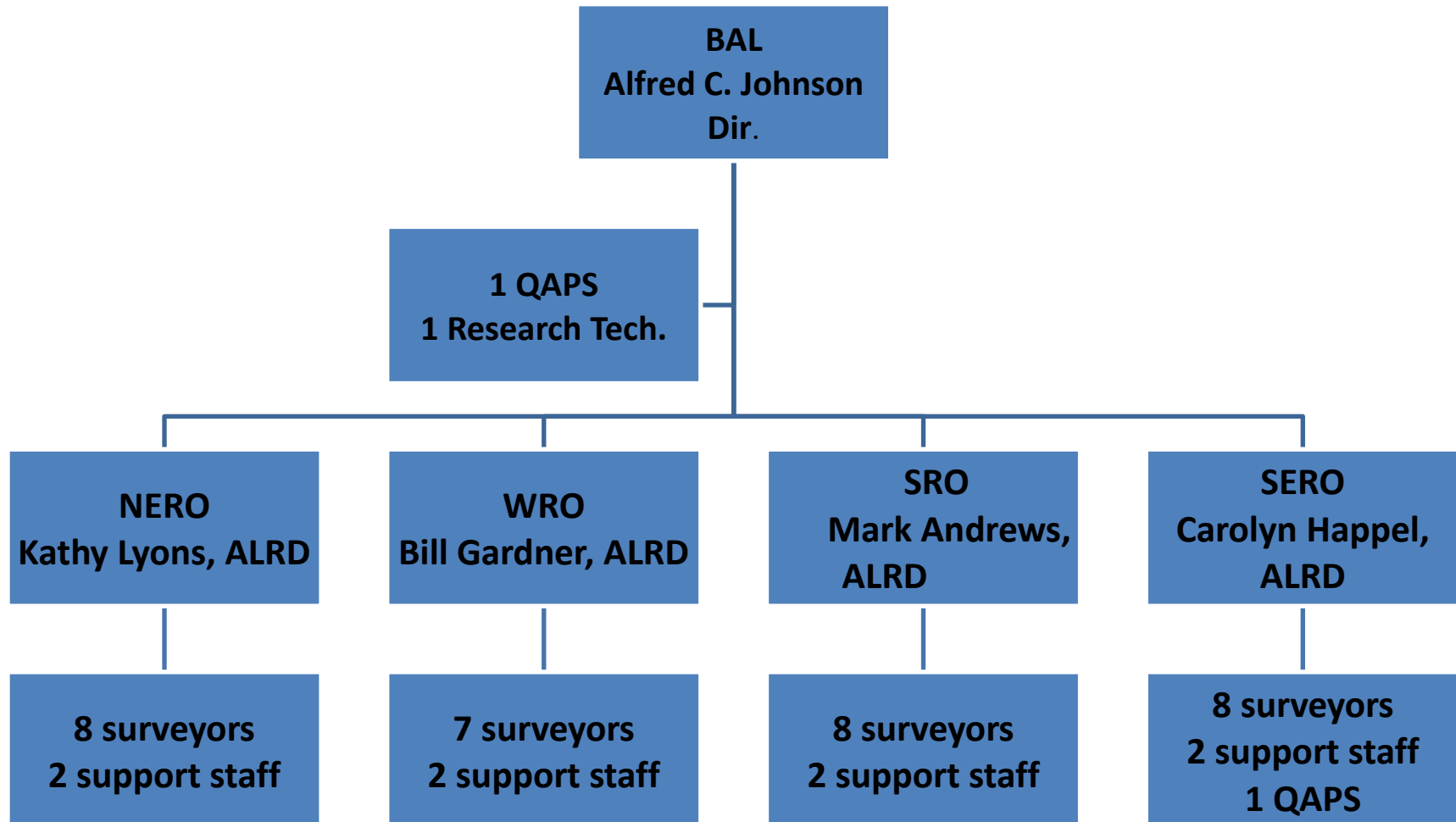


# Highlights

- Trends and Statistics
- Goals and Projects for 2013-2014



# BAL Org. Chart





# Assisted Living Regional Directors

## Offices

## ALRD's

- |                       |                                 |
|-----------------------|---------------------------------|
| • Southern Region     | • Mark Andrews (608) 266-8339   |
| • Western Region      | • Bill Gardner (715) 836-4029   |
| • Northeastern Region | • Kathy Lyons (920) 983-3191    |
| • Southeastern Region | • Carolyn Happel (414) 227-4565 |

A map of Wisconsin with its 9 counties color-coded into four regions. The legend in the top right corner identifies the regions by color: Northeastern (De Pere) in purple, Southeastern (Milwaukee) in red, Southern (Madison) in yellow, and Western (Eau Claire) in blue. The map shows the following county assignments:

- Northeastern (De Pere):** Marquette, Menominee, Oconto, Shawano, Waupaca, Outagamie, Brown, Manitowish, Fond du Lac, Sheboygan, Ozaukee, Washington, Racine, and Kenosha.
- Southeastern (Milwaukee):** Milwaukee.
- Southern (Madison):** Grant, Crawford, Richland, Sauk, Iowa, Lafayette, Green, Rock, Walworth, Jefferson, Waukesha, Dodge, Columbia, Dane, and Madison.
- Western (Eau Claire):** Douglas, Bayfield, Ashland, Iron, Vilas, Florence, Burnett, Washburn, Sawyer, Price, Oneida, Forest, Polk, Barron, Rusk, Taylor, Lincoln, Langlade, St. Croix, Dunn, Chippewa, Pierce, Pepin, Eau Claire, Clark, Marathon, Menominee, Oconto, Door, Kewaunee, Waushara, Winnebago, Calumet, Manitowish, Sheboygan, Ozaukee, Washington, Racine, and Kenosha.

**Wisconsin Department of Health Services  
Division of Quality Assurance**



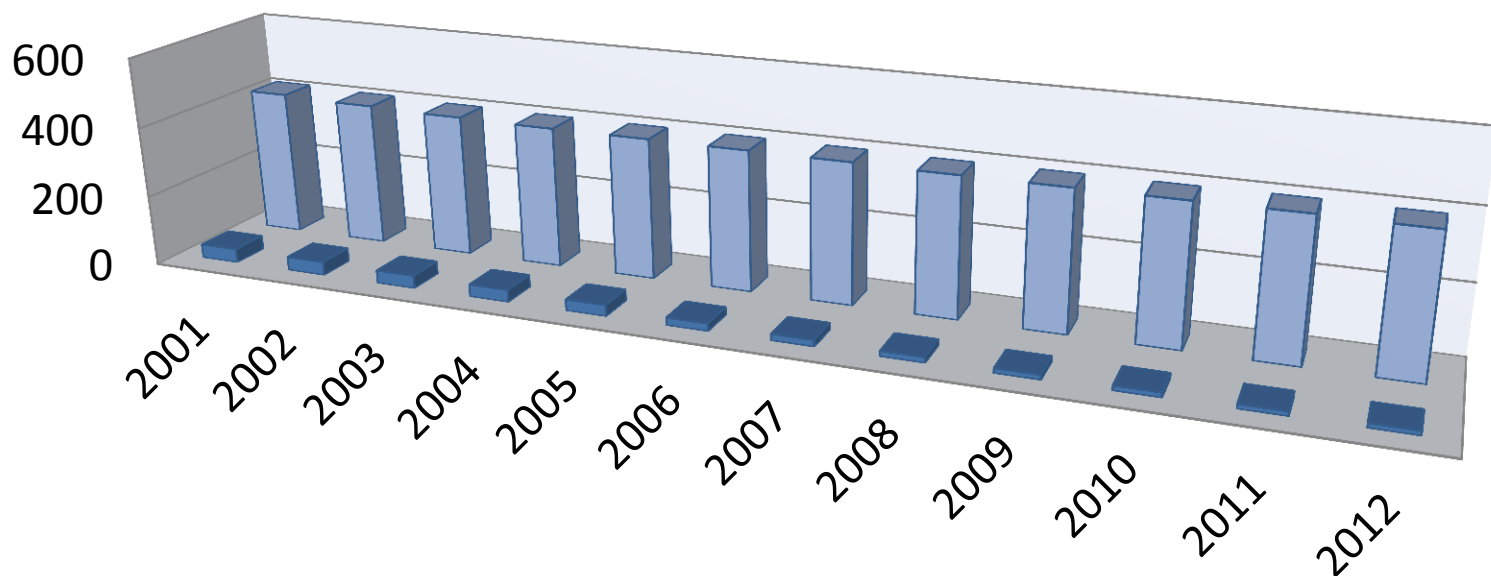
# Trends & Statistics





# Nursing Home & ICFIDS

**Trend in number of facilities**

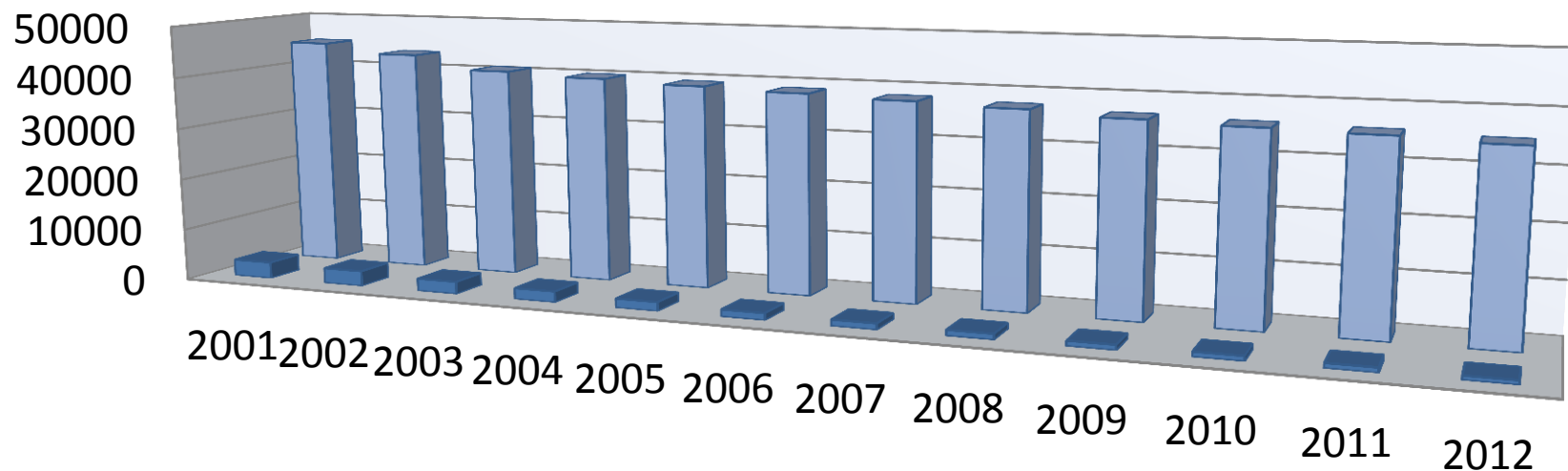


	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012
■ FDDS	40	39	37	35	32	22	19	16	14	14	13	13
■ NHs	418	412	407	404	404	403	402	399	399	399	400	397



# Nursing Home & ICFIDS

**Trend in capacity for residents**

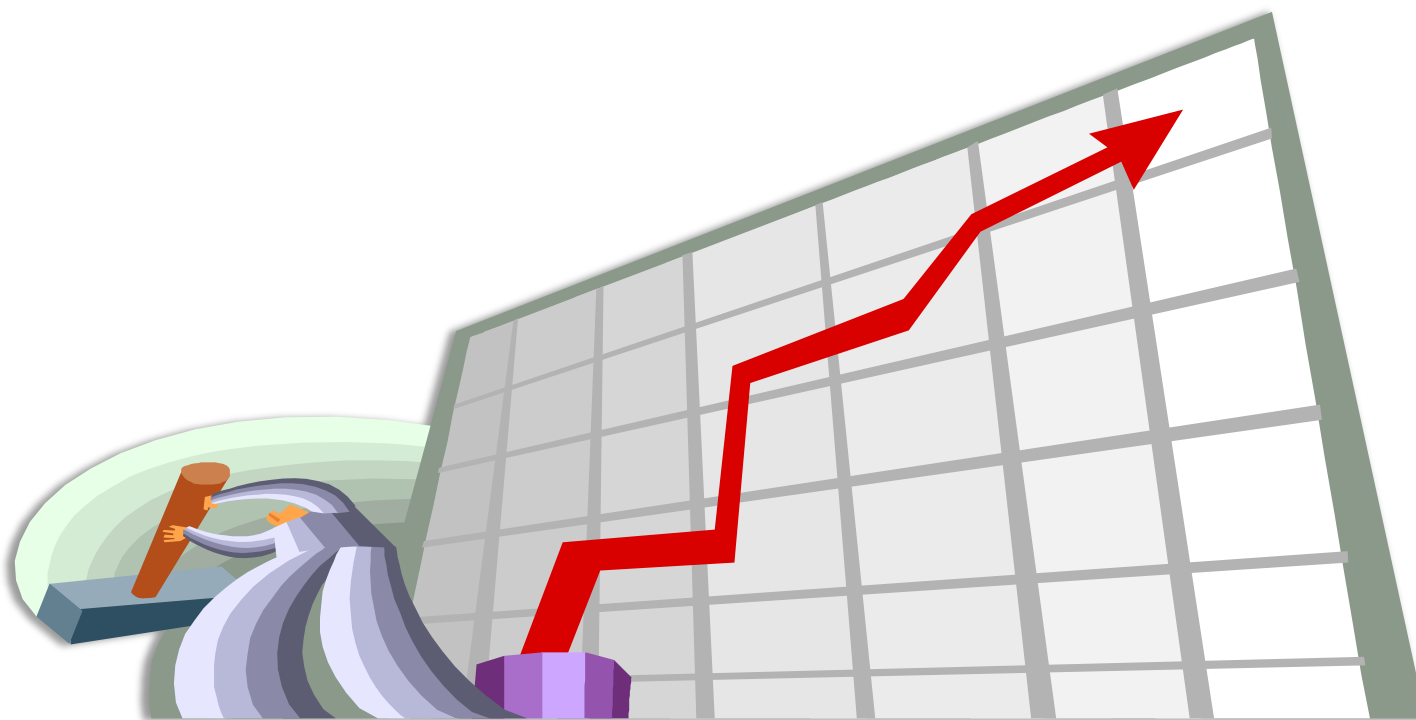


	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012
■ FDDS	3191	2948	2391	2115	1734	1354	1190	1102	989	939	908	768
■ NHs	45029	43268	40661	39959	39276	38700	38106	37494	36557	36022	35661	34992





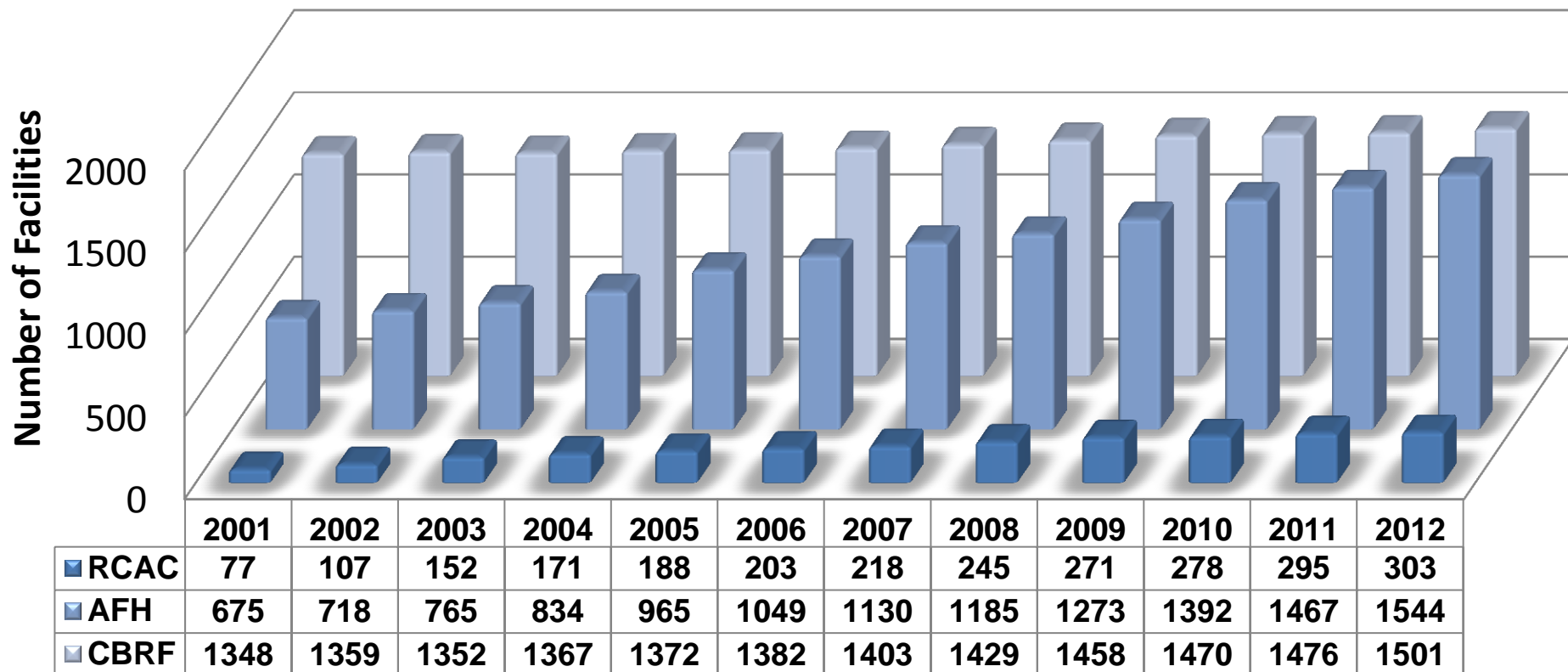
# Wisconsin Assisted Living 34<sup>th</sup> Consecutive year of Growth!!





# Assisted Living

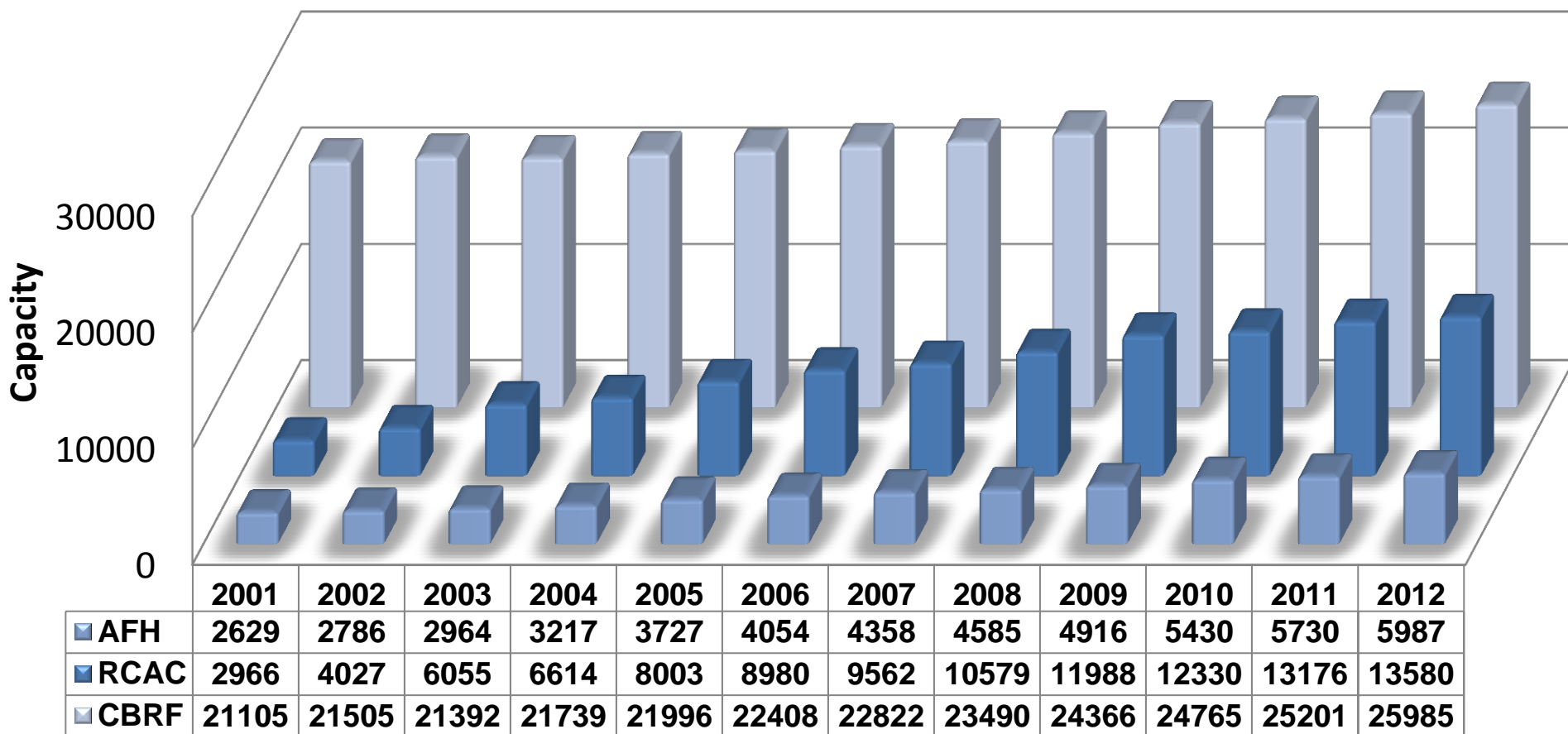
## Trend in number of facilities





# Assisted Living

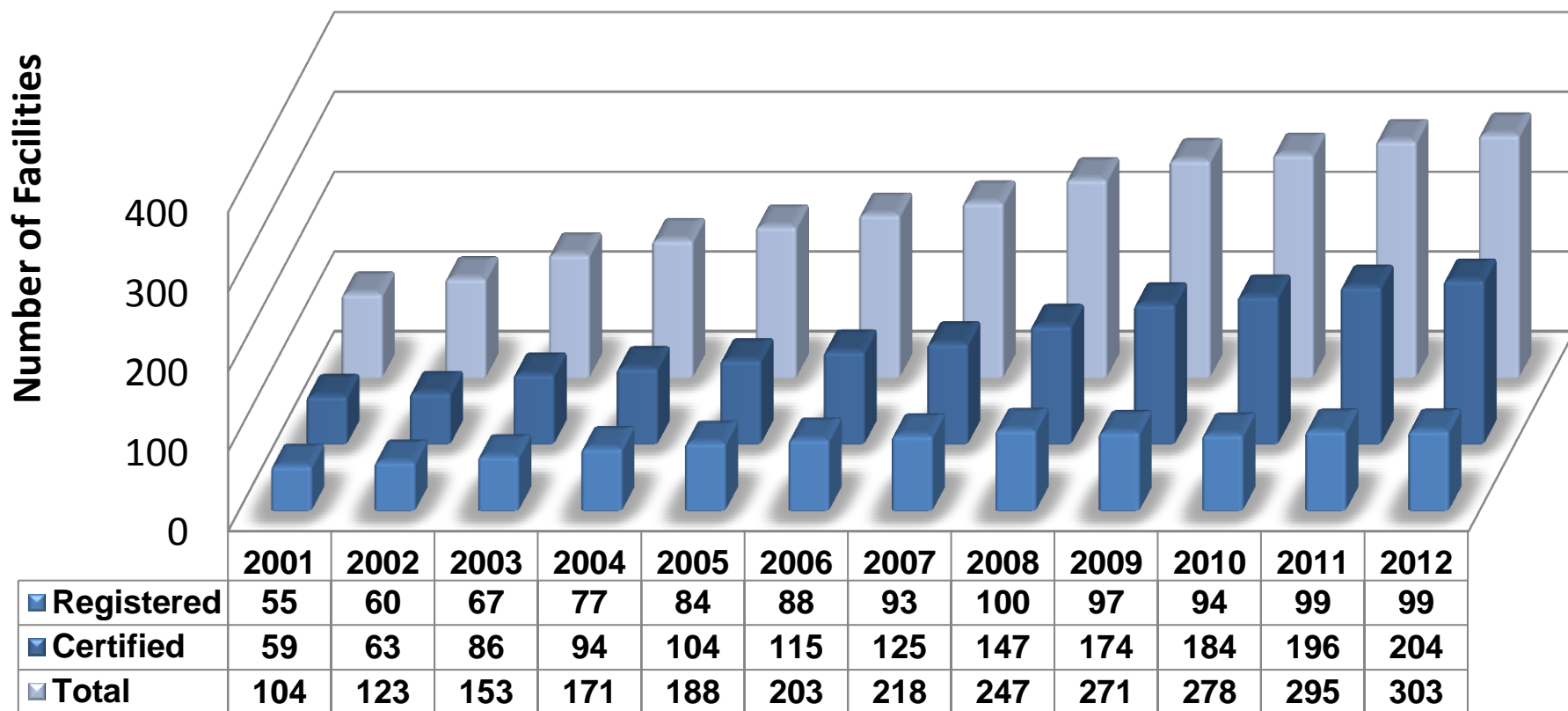
## Trend in assisted living capacity





# RCACs

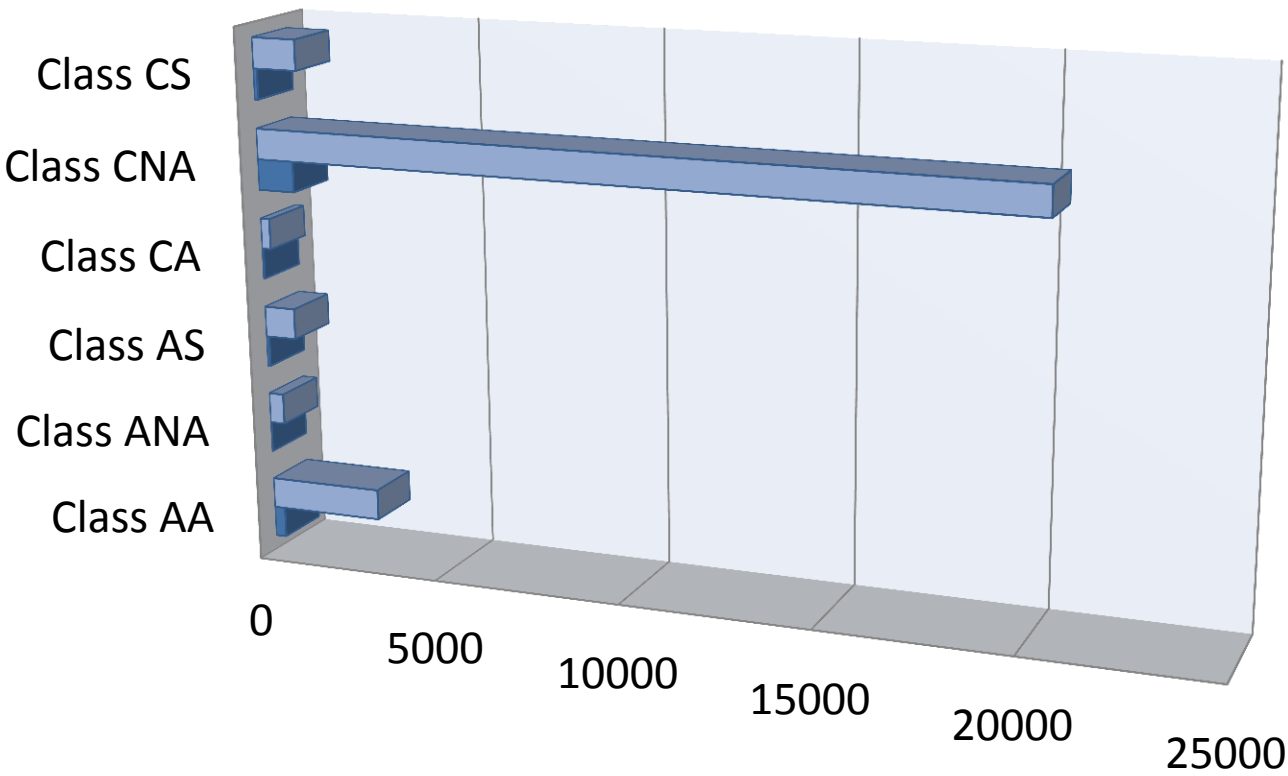
## Certified vs. Registered





# CBRF

Capacity Report

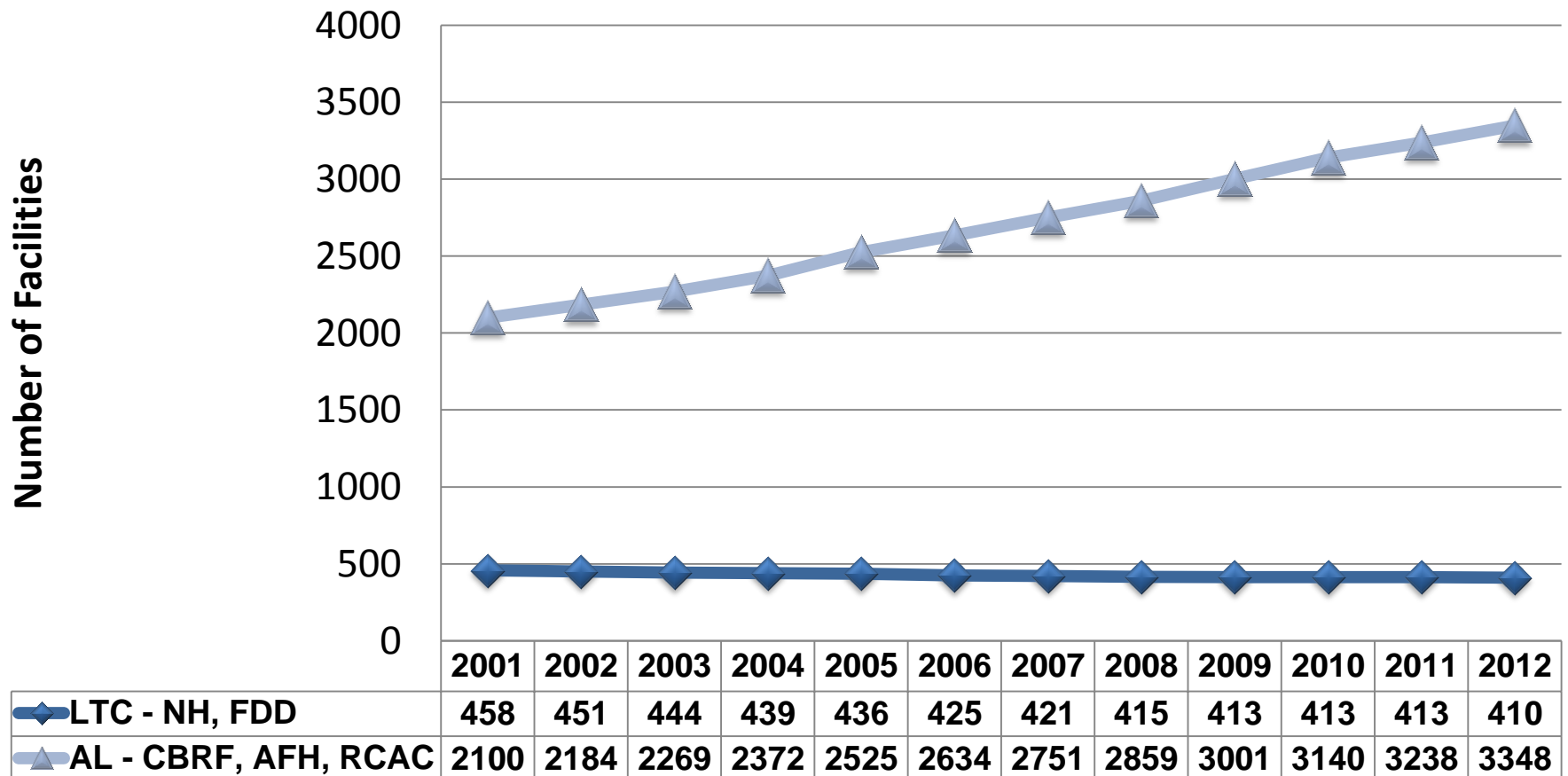


	Class AA	Class ANA	Class AS	Class CA	Class CNA	Class CS
Capacity	3010	395	833	245	20416	1190
Number of facilities	287	17	79	36	988	99



# AL vs. LTC

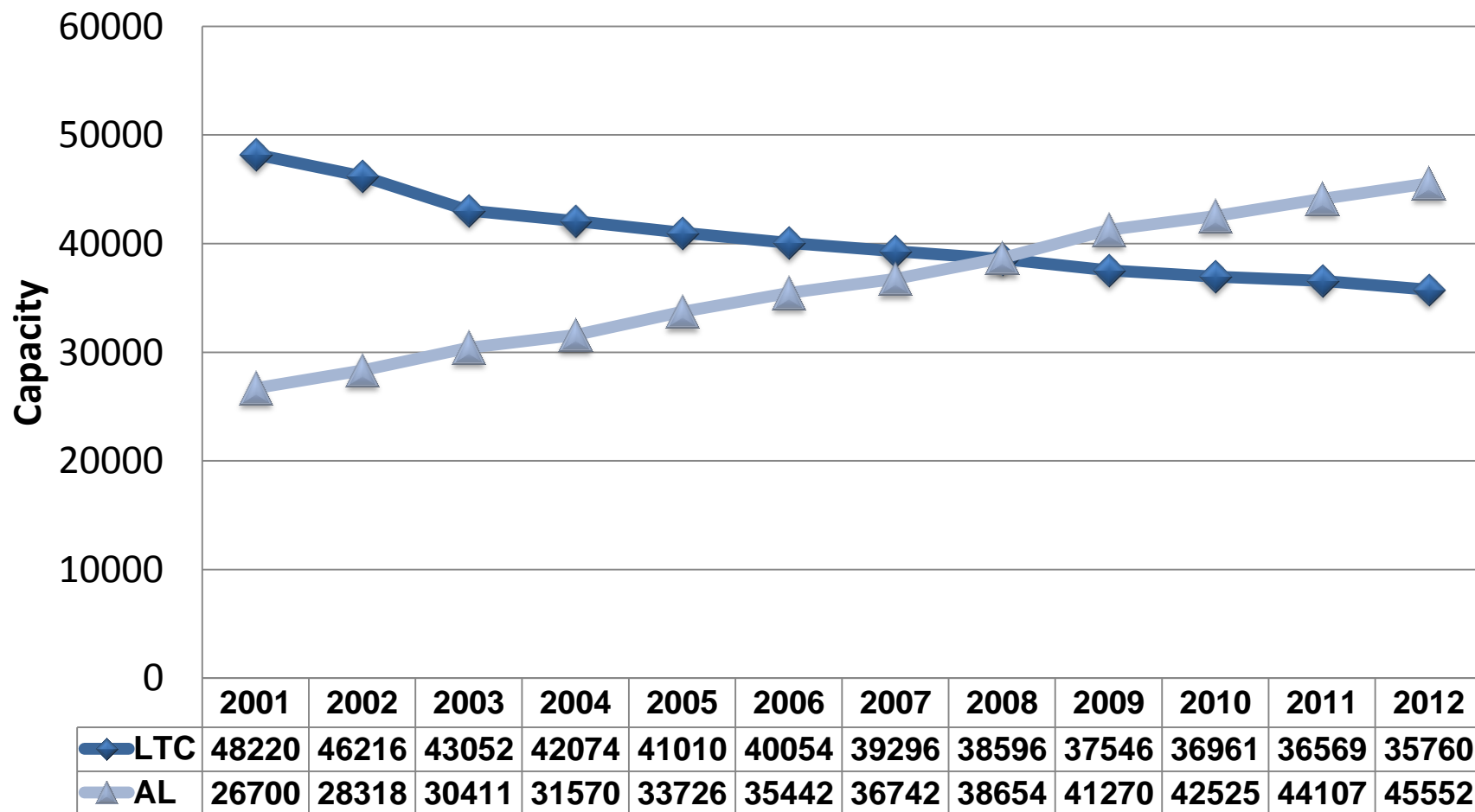
## Trend in number of facilities





# AL vs. LTC

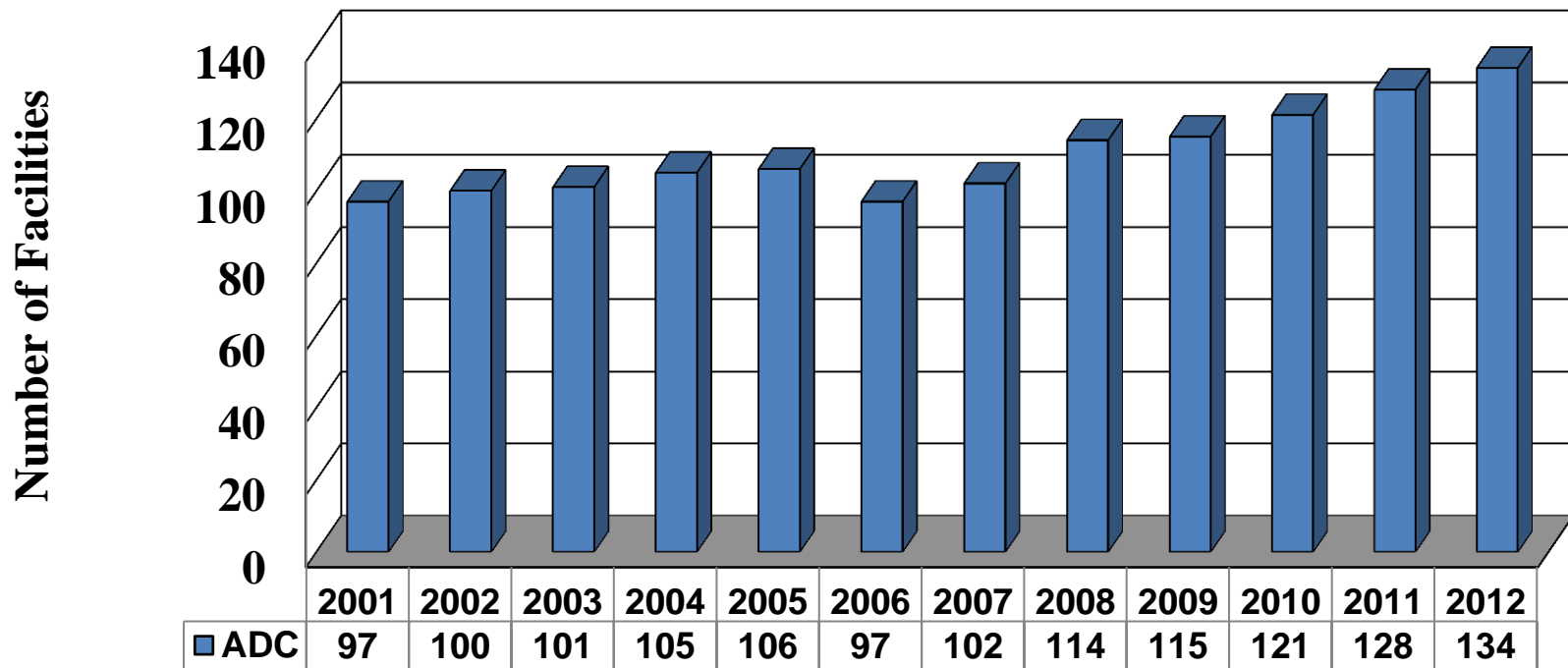
## Trend in capacity for residents





# Adult Day Care Facilities

**Trend in number of facilities**

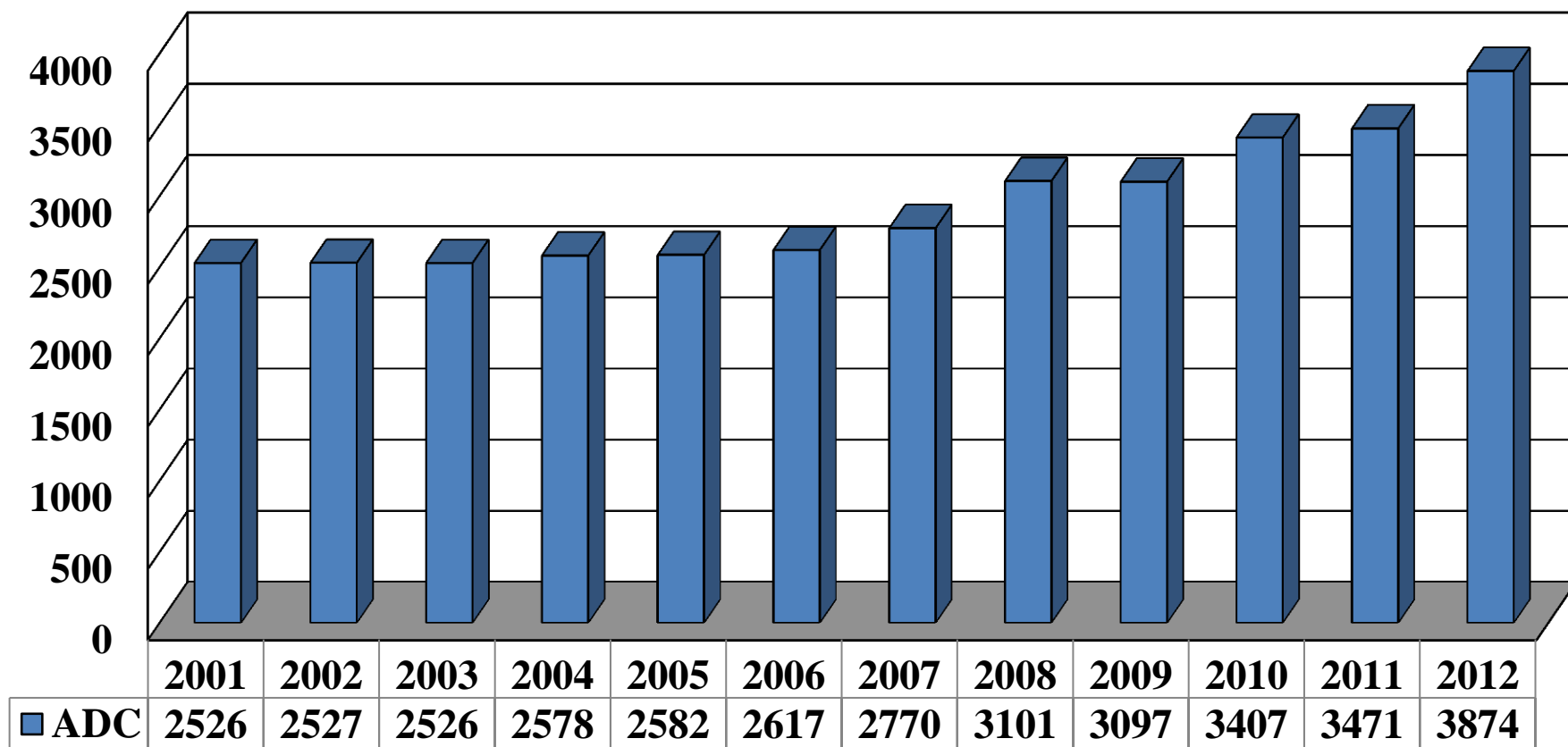






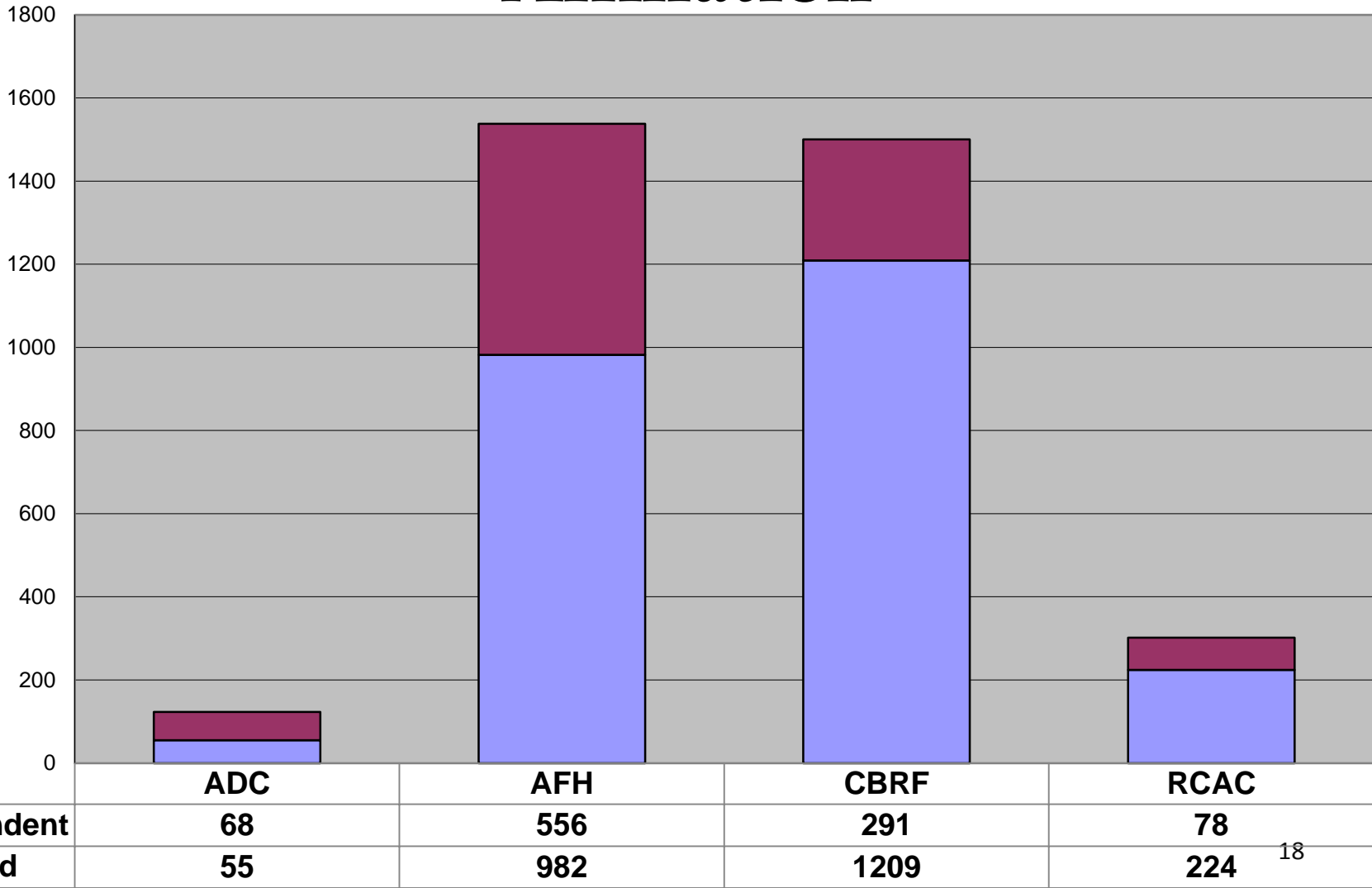
# Adult Day Care Facilities

**Trend in the capacity for participants**



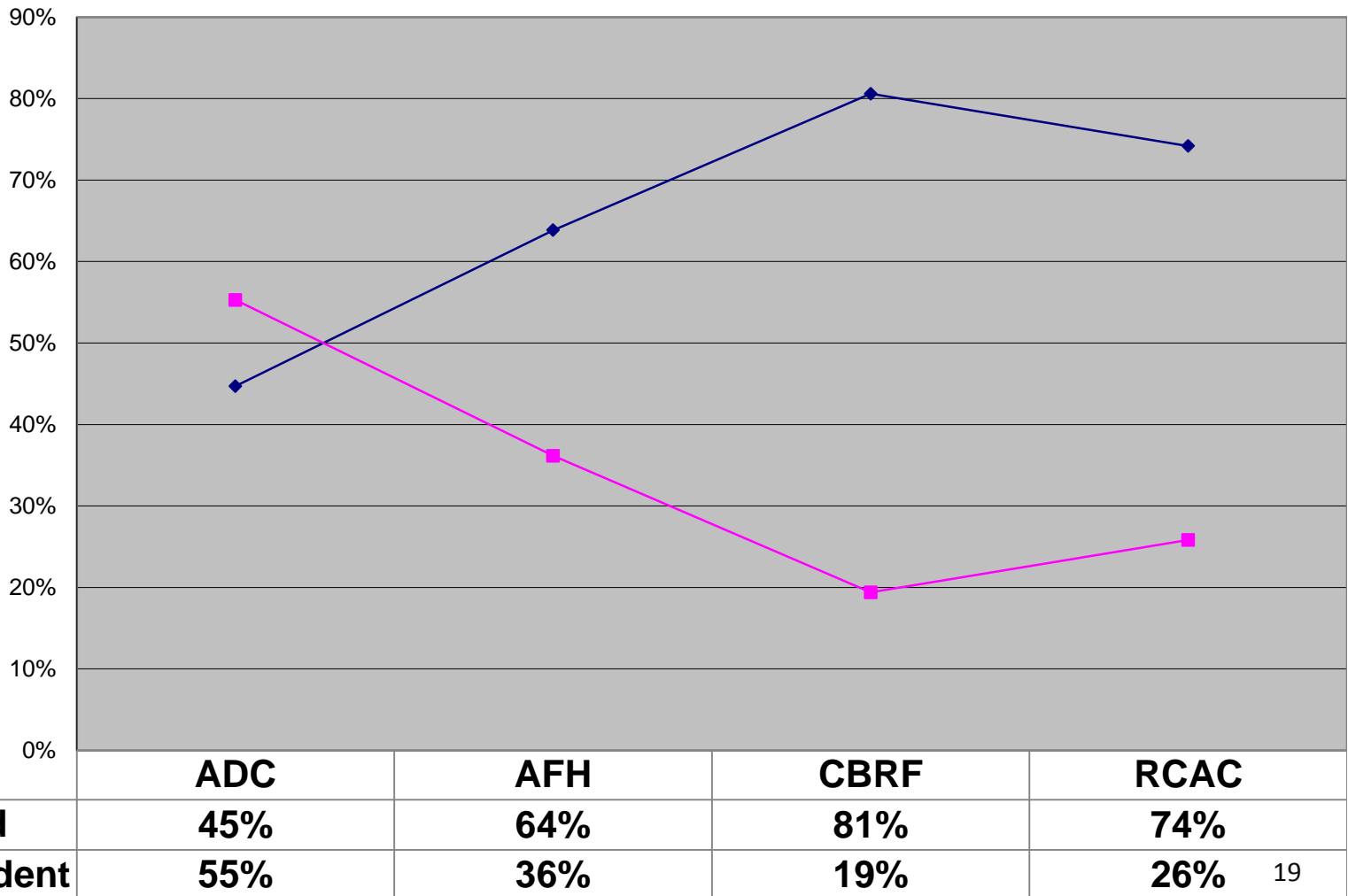


# Assisted Living Facilities by Affiliation





# Percent of Facility Types Affiliated CY 2012

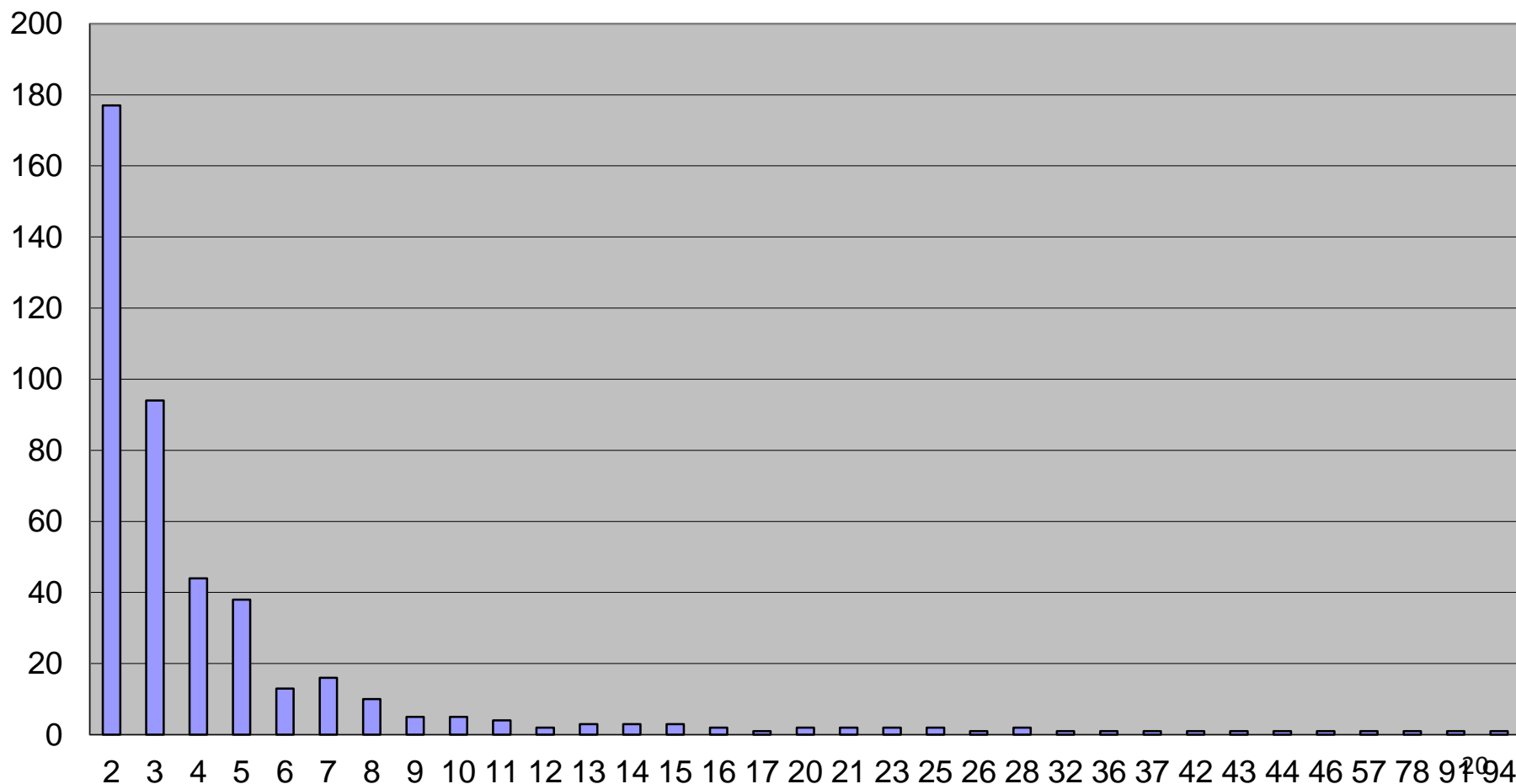




# 2470 Non-independent Facilities

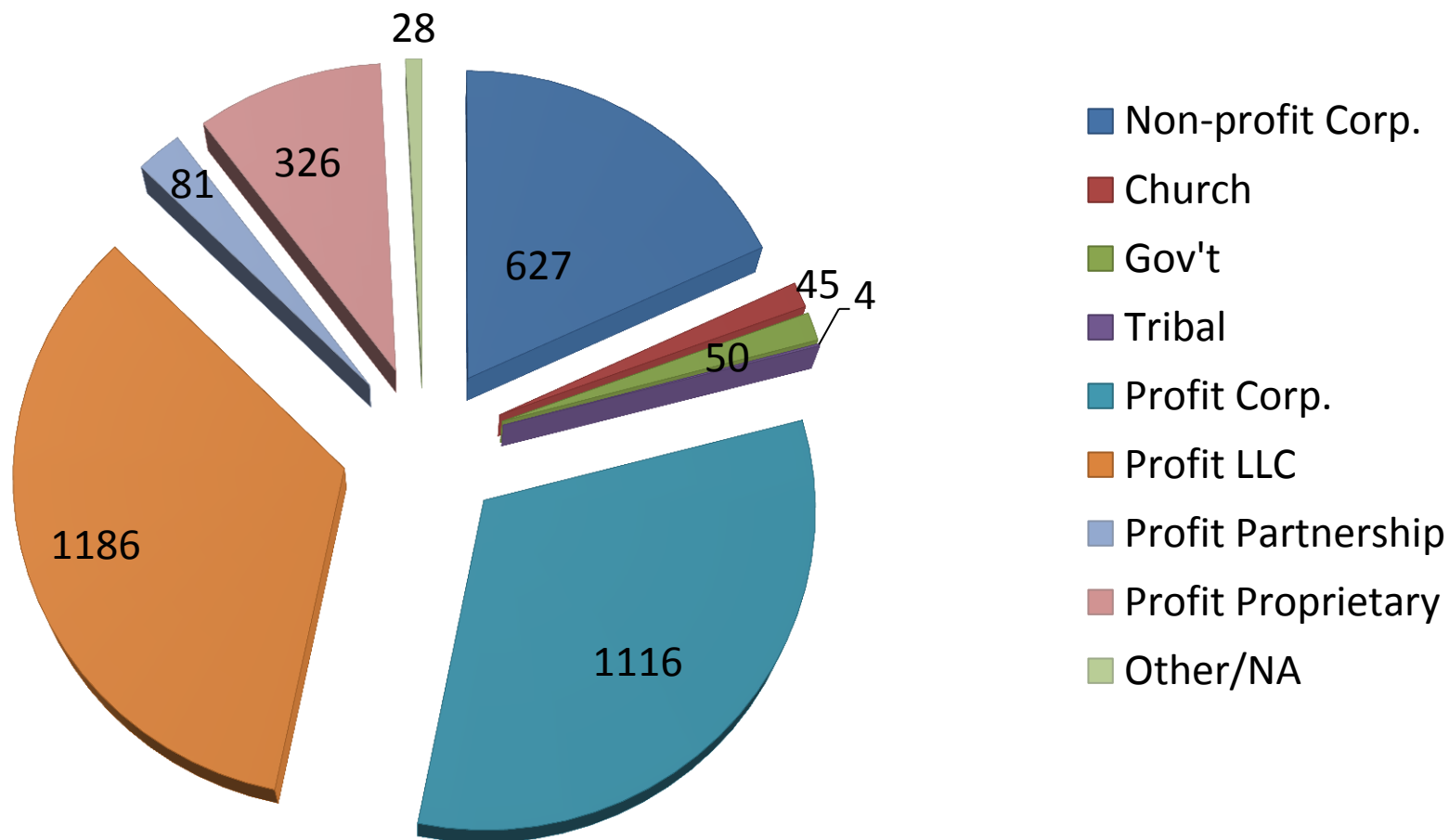
## 441 Affiliates

### 981 Independent Facilities





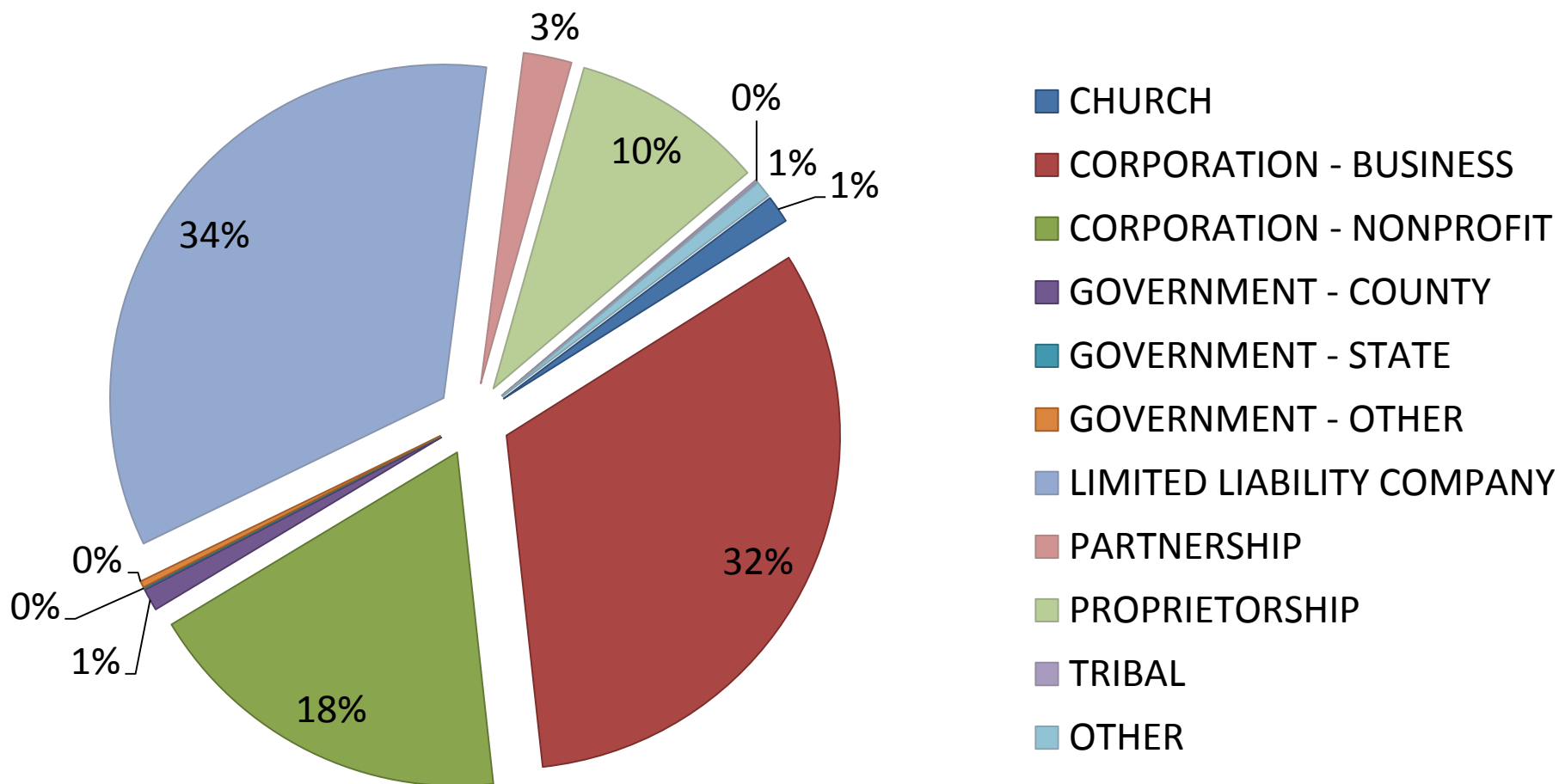
# Ownership by Count – All CY 2012





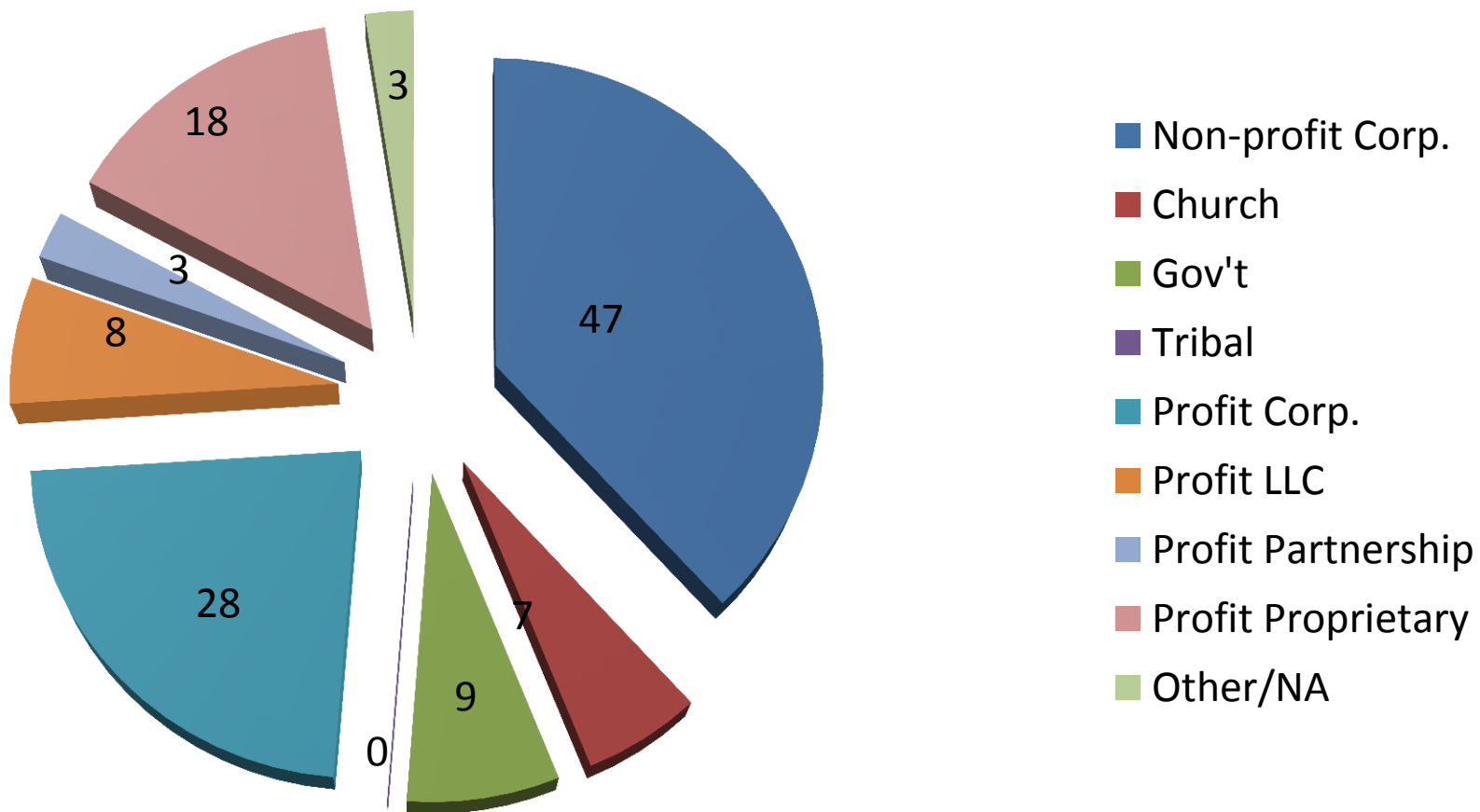
# Ownership by % All

CY 2012



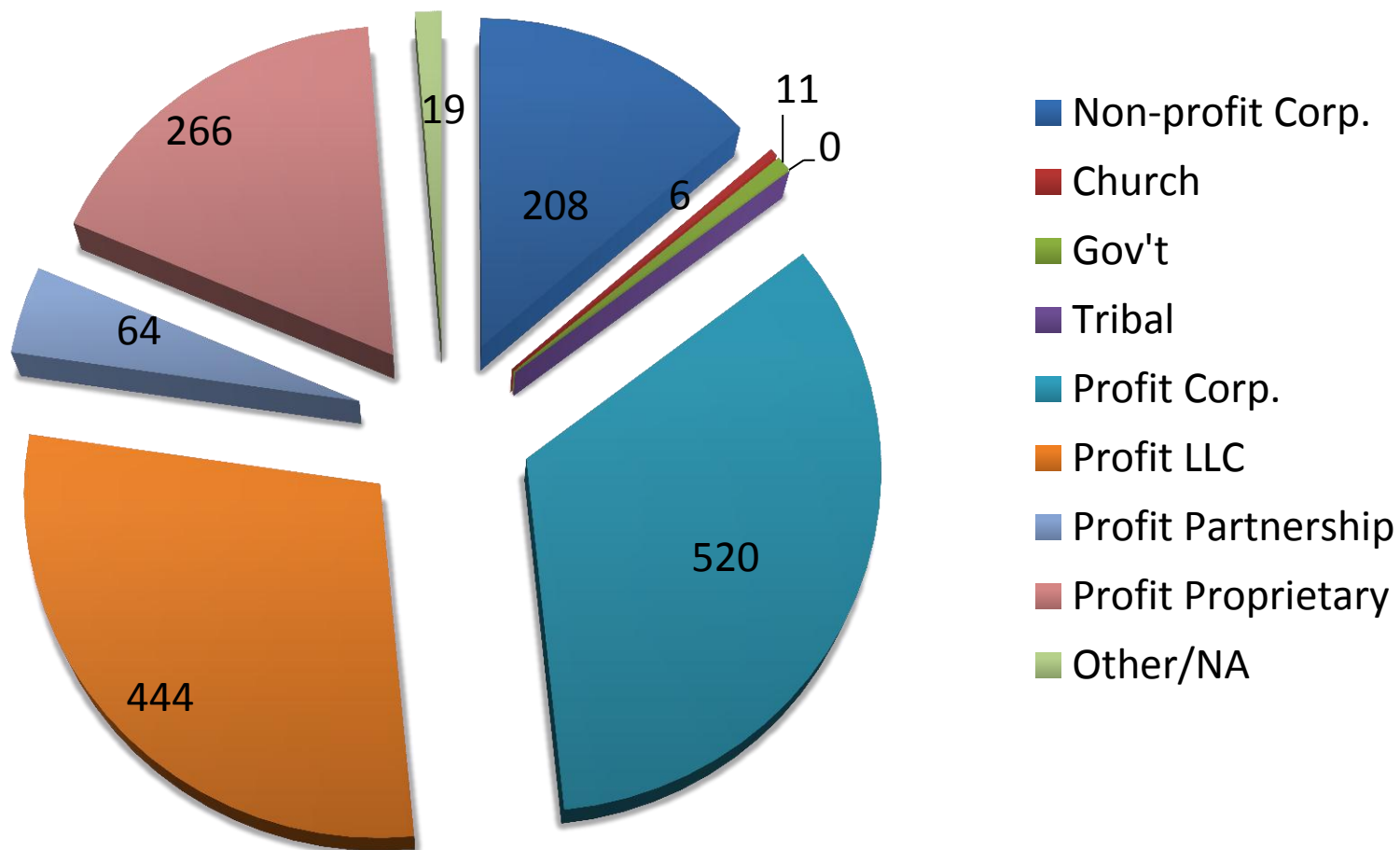


# Ownership - ADC CY 2012





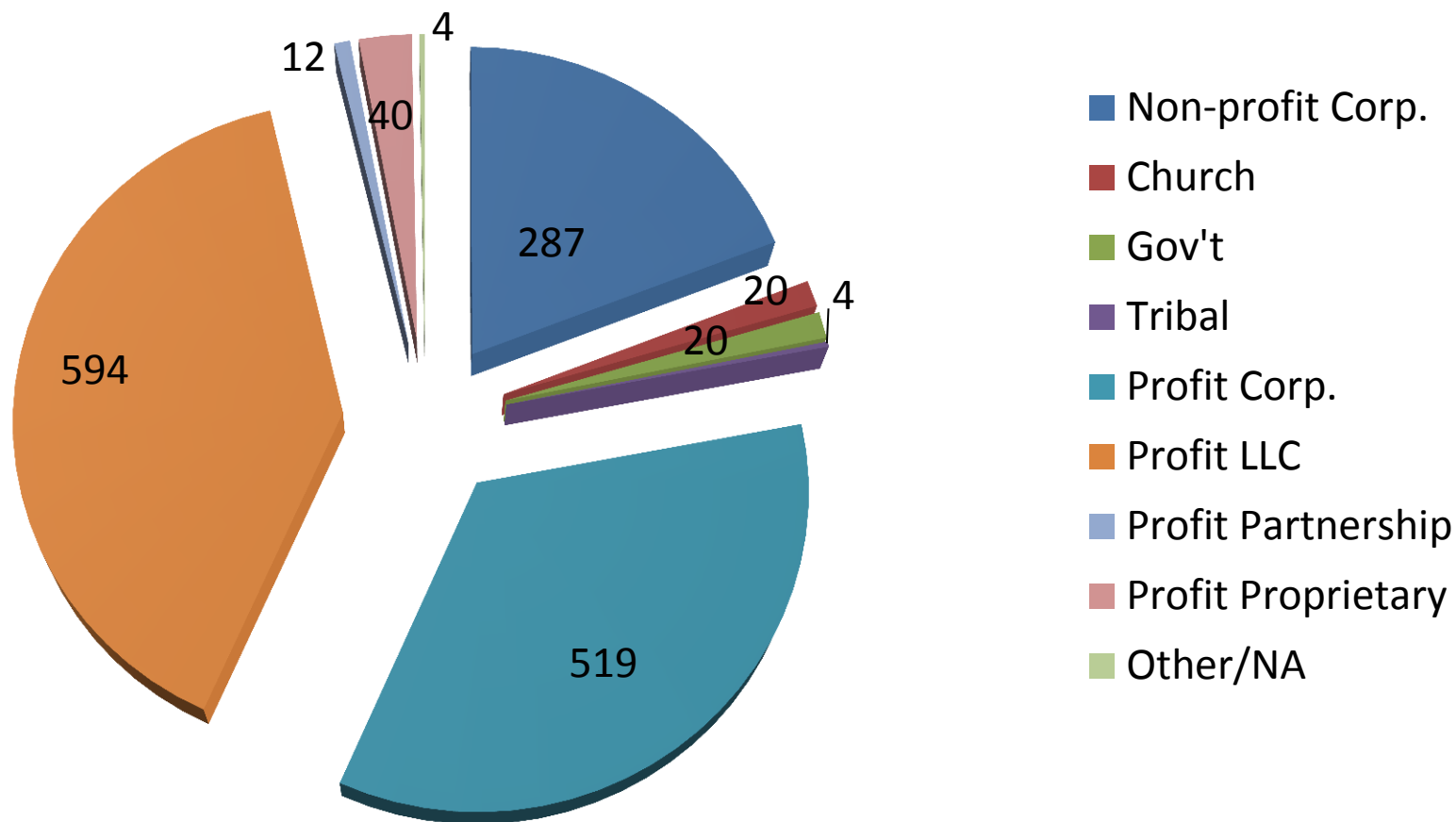
# Ownership - AFH CY 2012





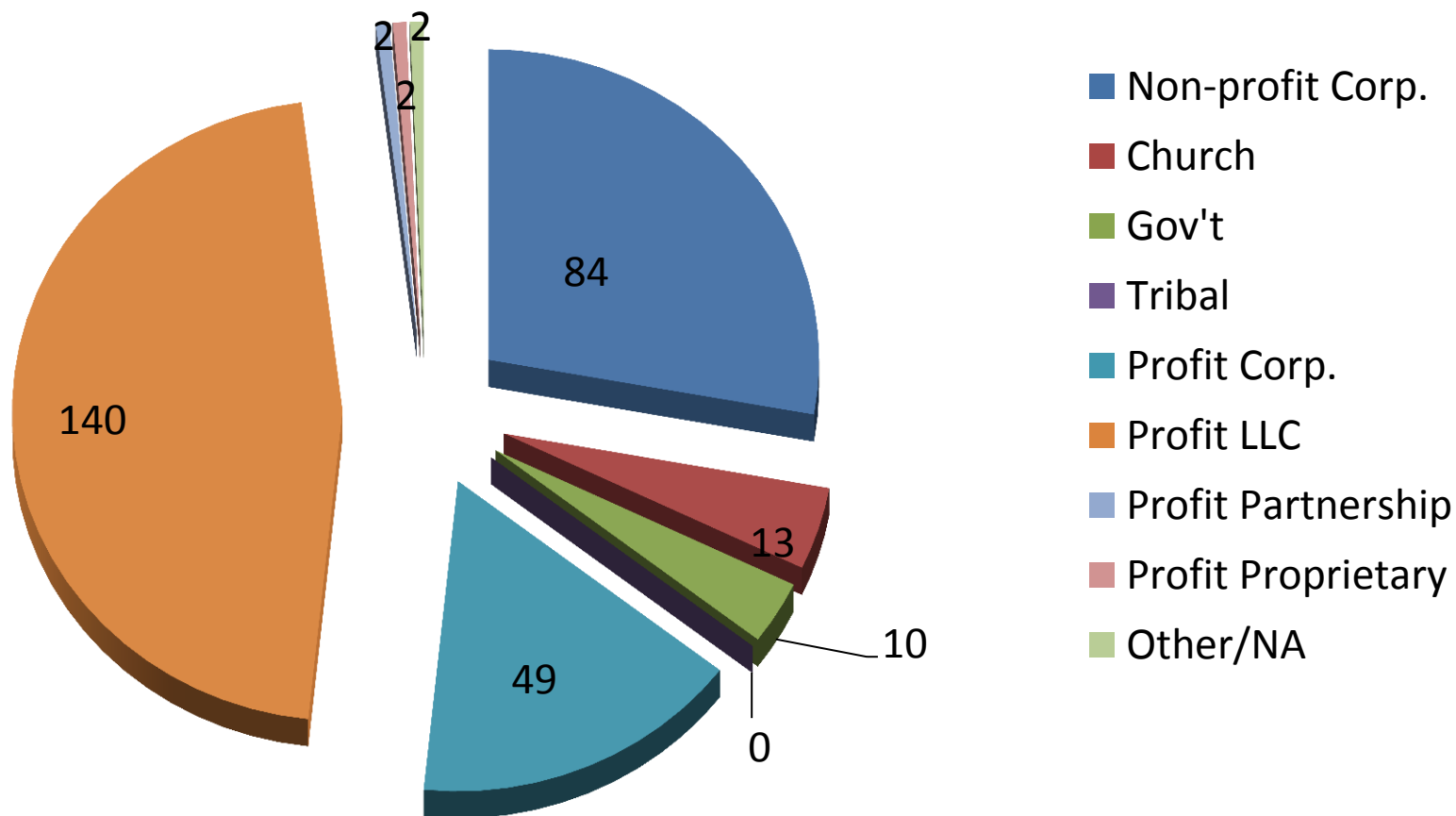


# Ownership - CBRF CY 2012



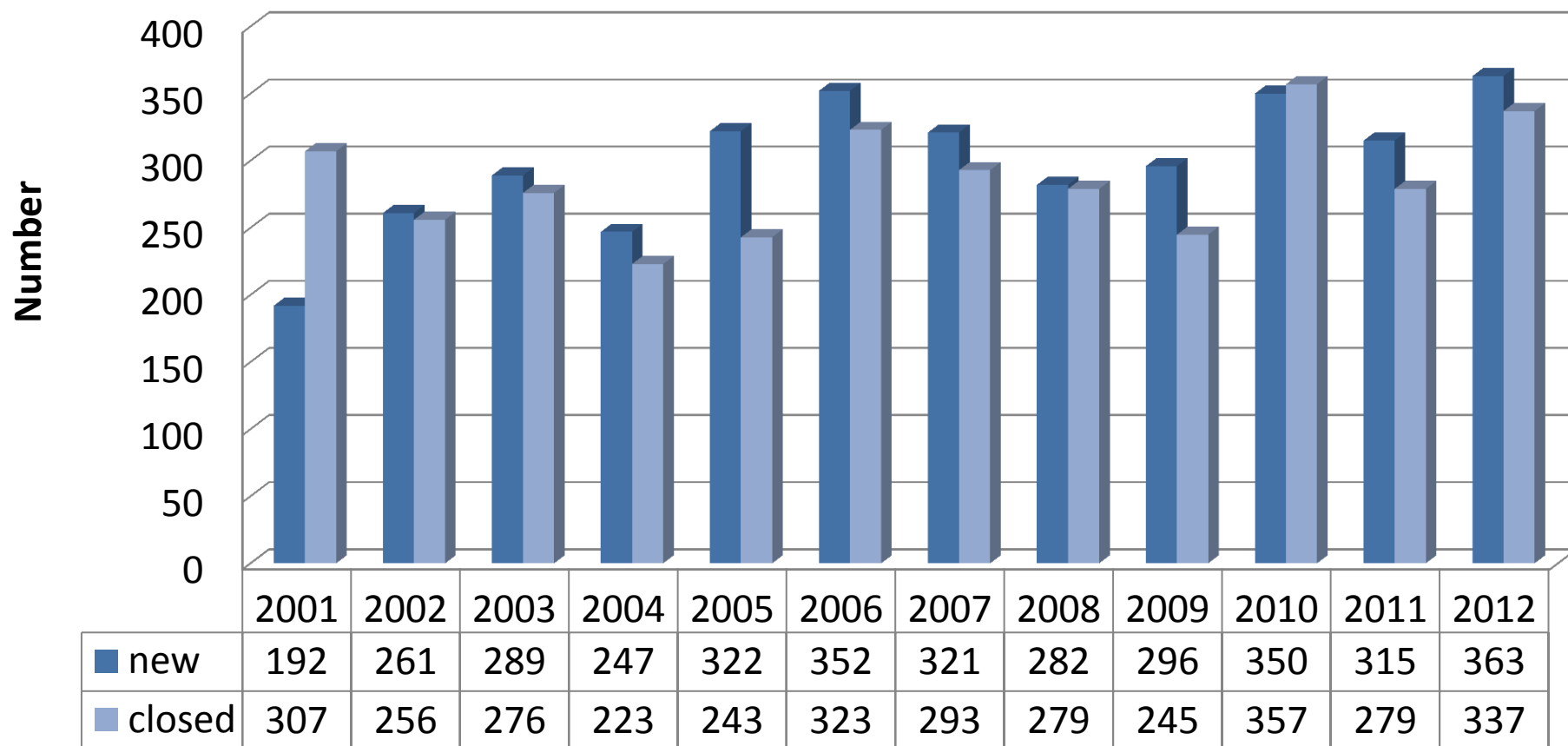


# Ownership - RCAC CY 2012



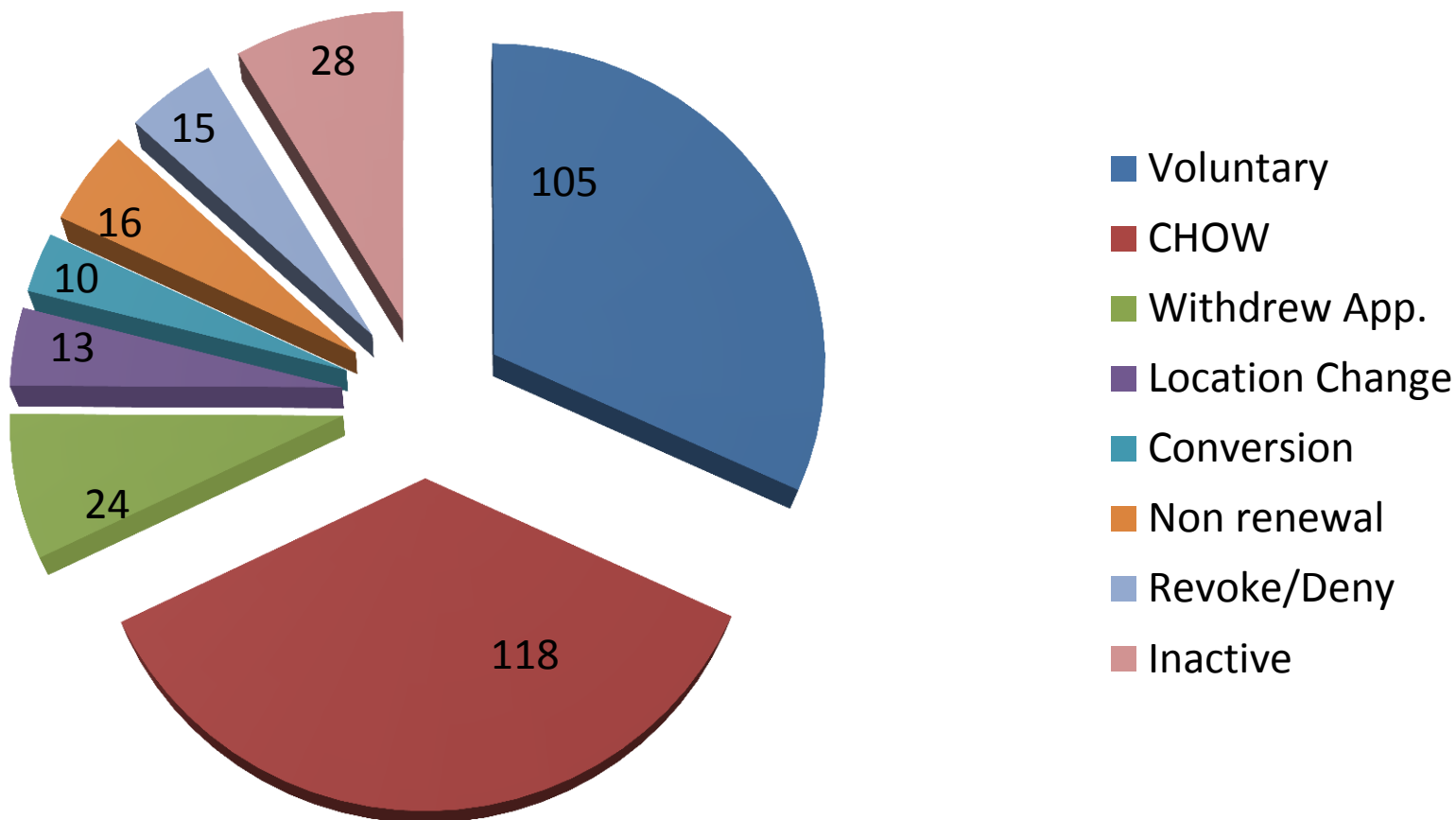


# New AL vs. Closed AL





# Why Facilities Closed CY 2012





# Post Survey Questionnaire



- 2012 - 65 respondents
- Satisfaction with survey tasks  
98.30 %
- On Site - 4.72
  - Knowledgeable - 4.75
  - Professional - 4.78
  - Respectful - 4.78
- SOD – 4.43

(1 = strongly disagree, 5 = strongly agree)



**An effective enforcement process can help move an industry to improved quality...**



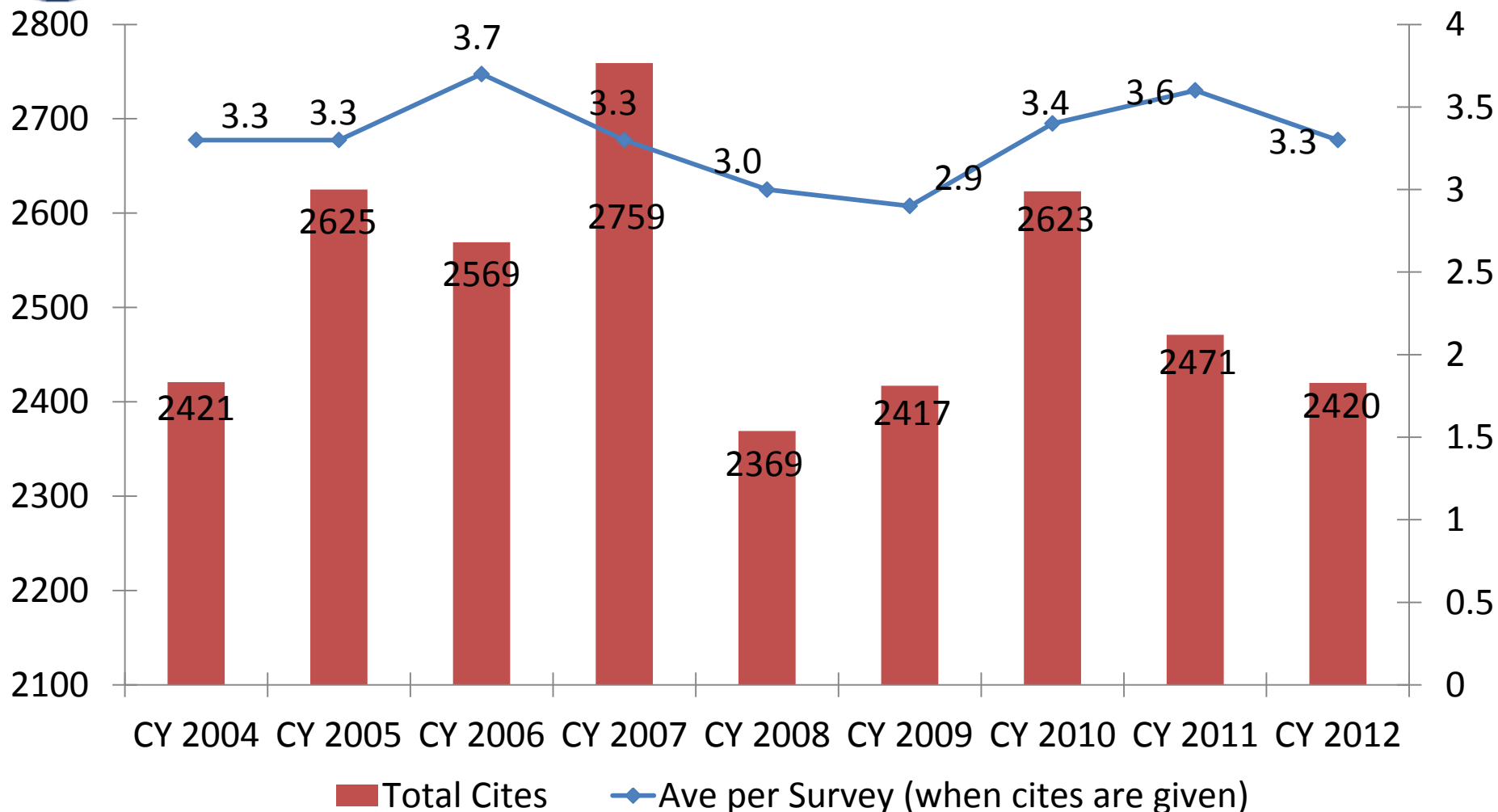


# Enforcement Philosophy

- Use enforcement to help move the industry to quality
  - Use sanctions that can improve systemic concerns so communities can correct and sustain compliance
  - Progressive sanctions
  - Aggressive action against the communities with persistent or serious non-compliance
  - Collaborate with other agencies including Advocates, OCQ, DSPS, OIG, Counties, MCOs and Department of Justice and Attorney General



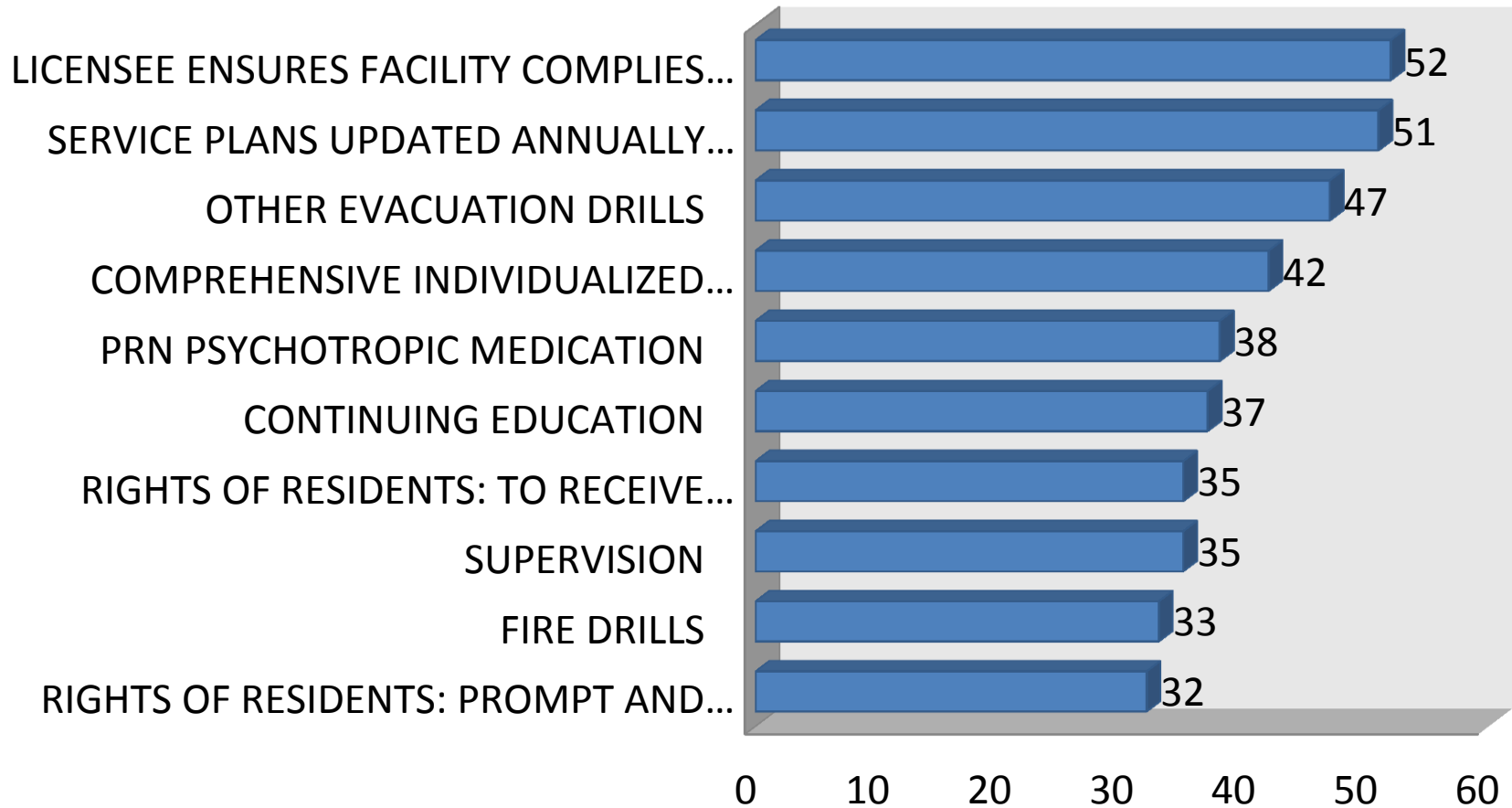
# AL Citations Issued





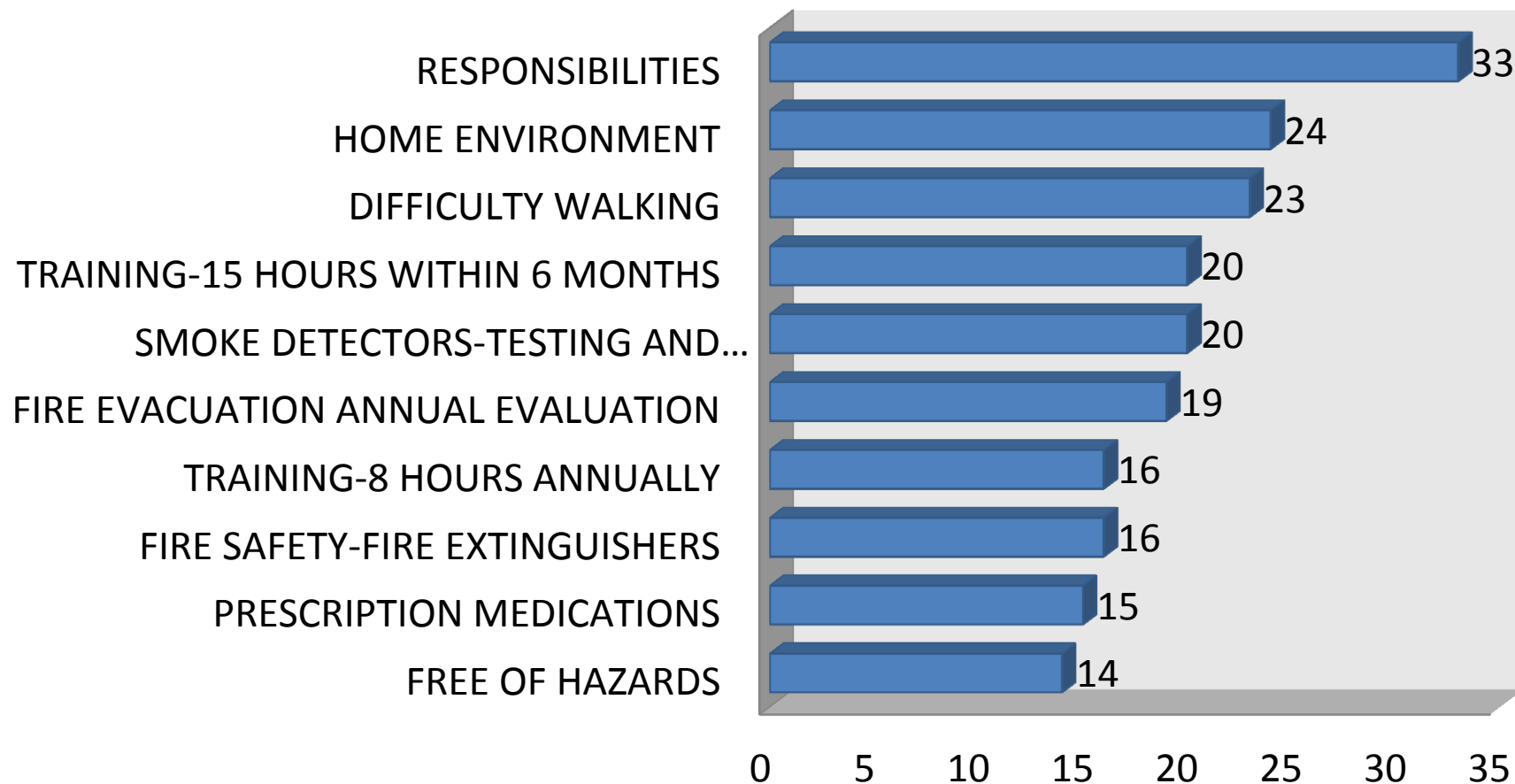


# Top Ten CBRF Citations



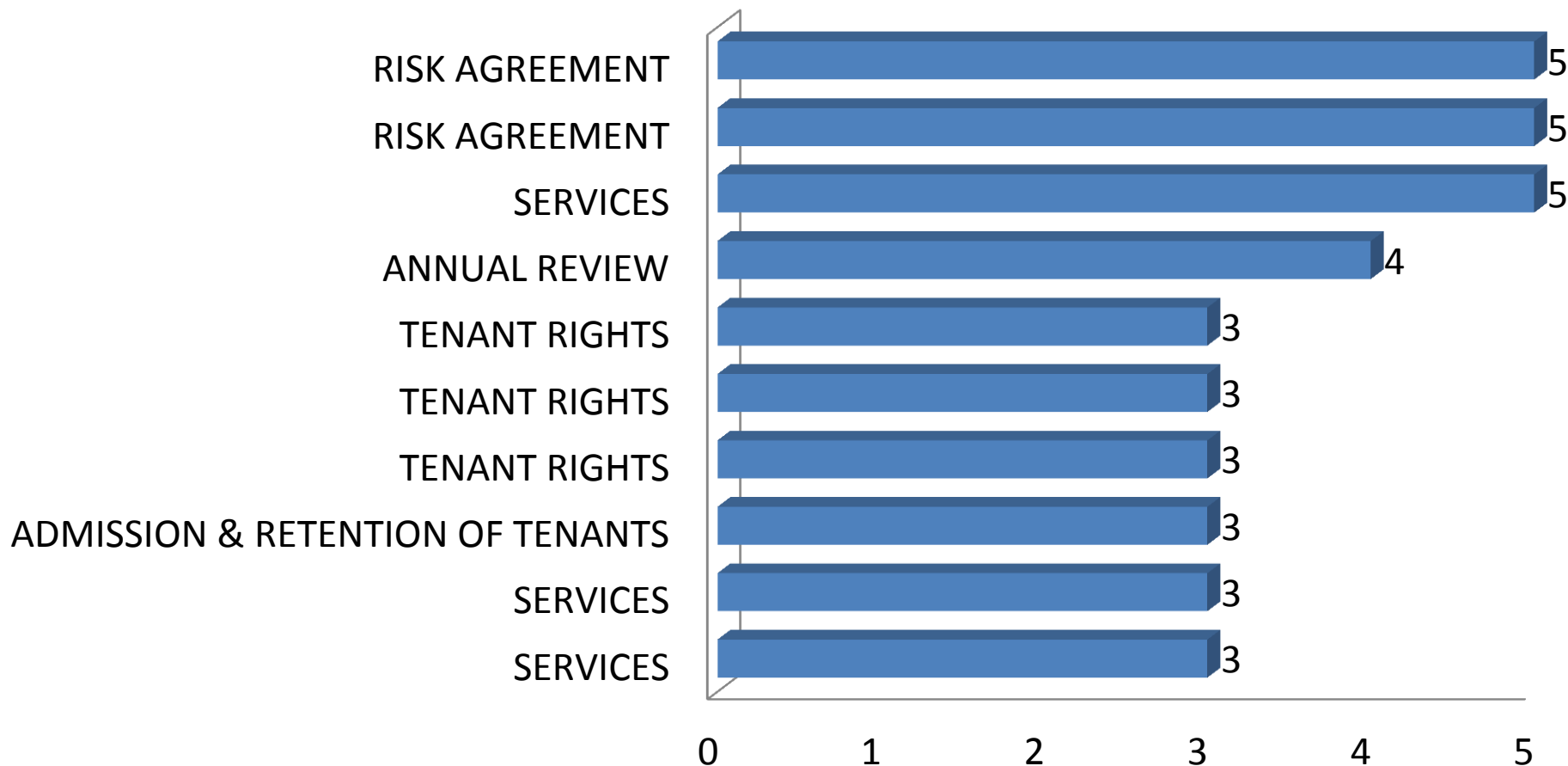


# Top Ten AFH Citations



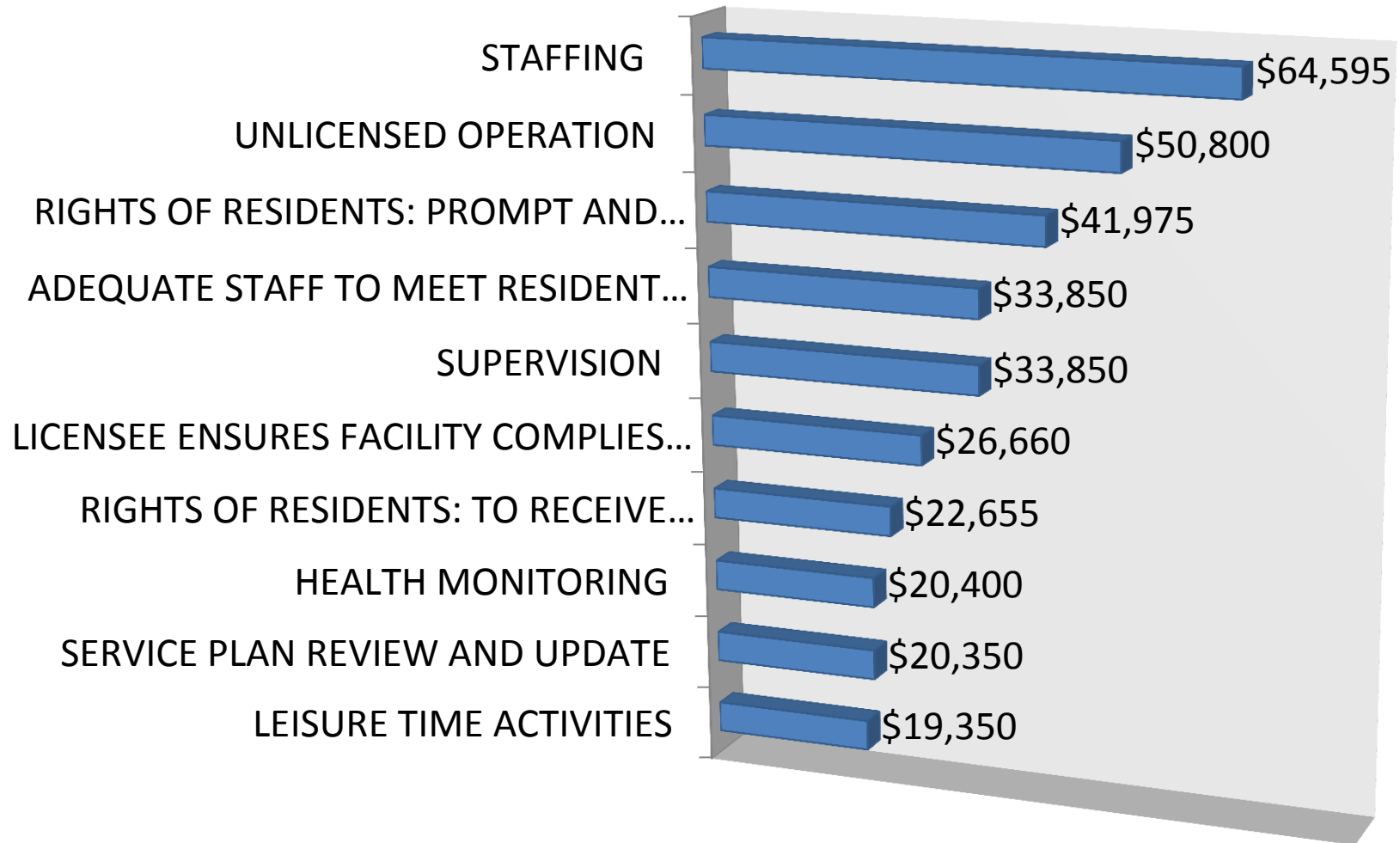


# Top Ten RCAC Citations



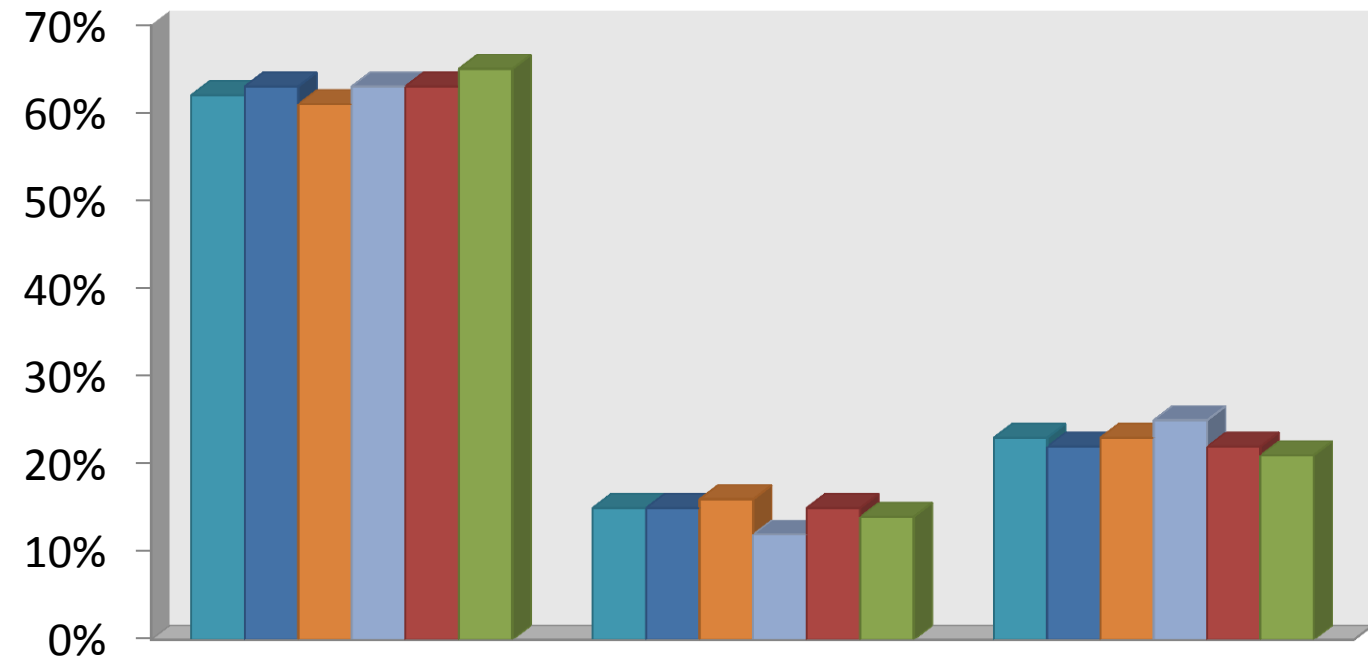


# Top Ten Cites w/ Forfeiture – CBRF CY 2012





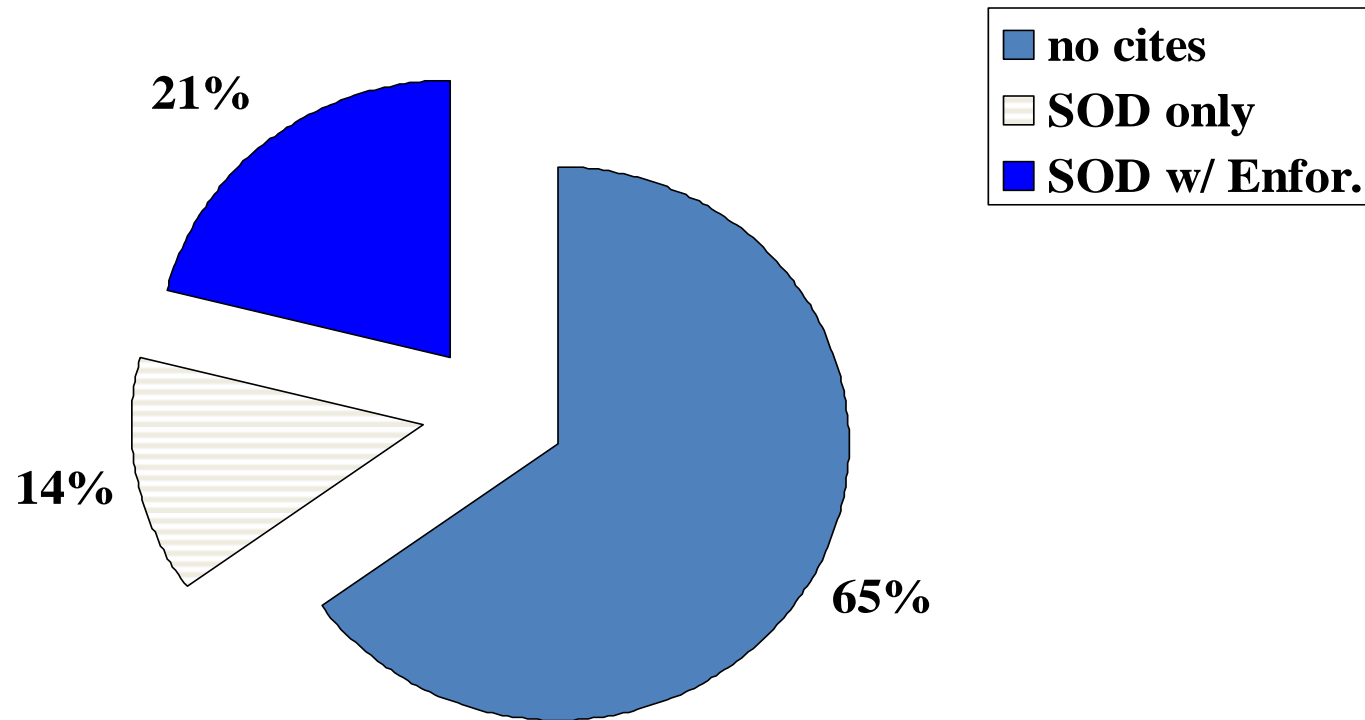
# Survey Results - Statewide



	No Cites	SOD only	Surveys w/enf
2007	62%	15%	23%
2008	63%	15%	22%
2009	61%	16%	23%
2010	63%	12%	25%
2011	63%	15%	22%
2012	65%	14%	21%

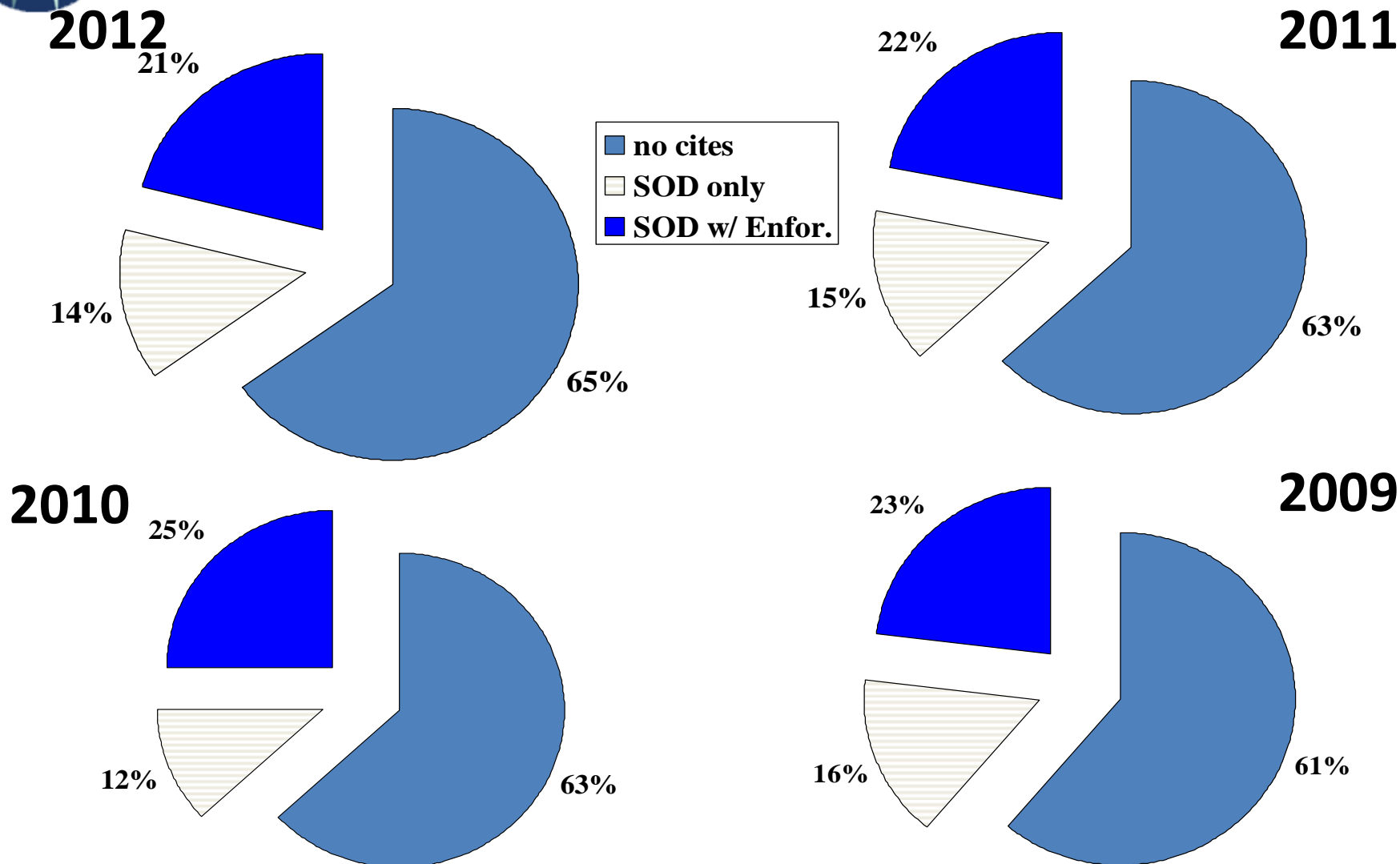


# Survey Results 2012



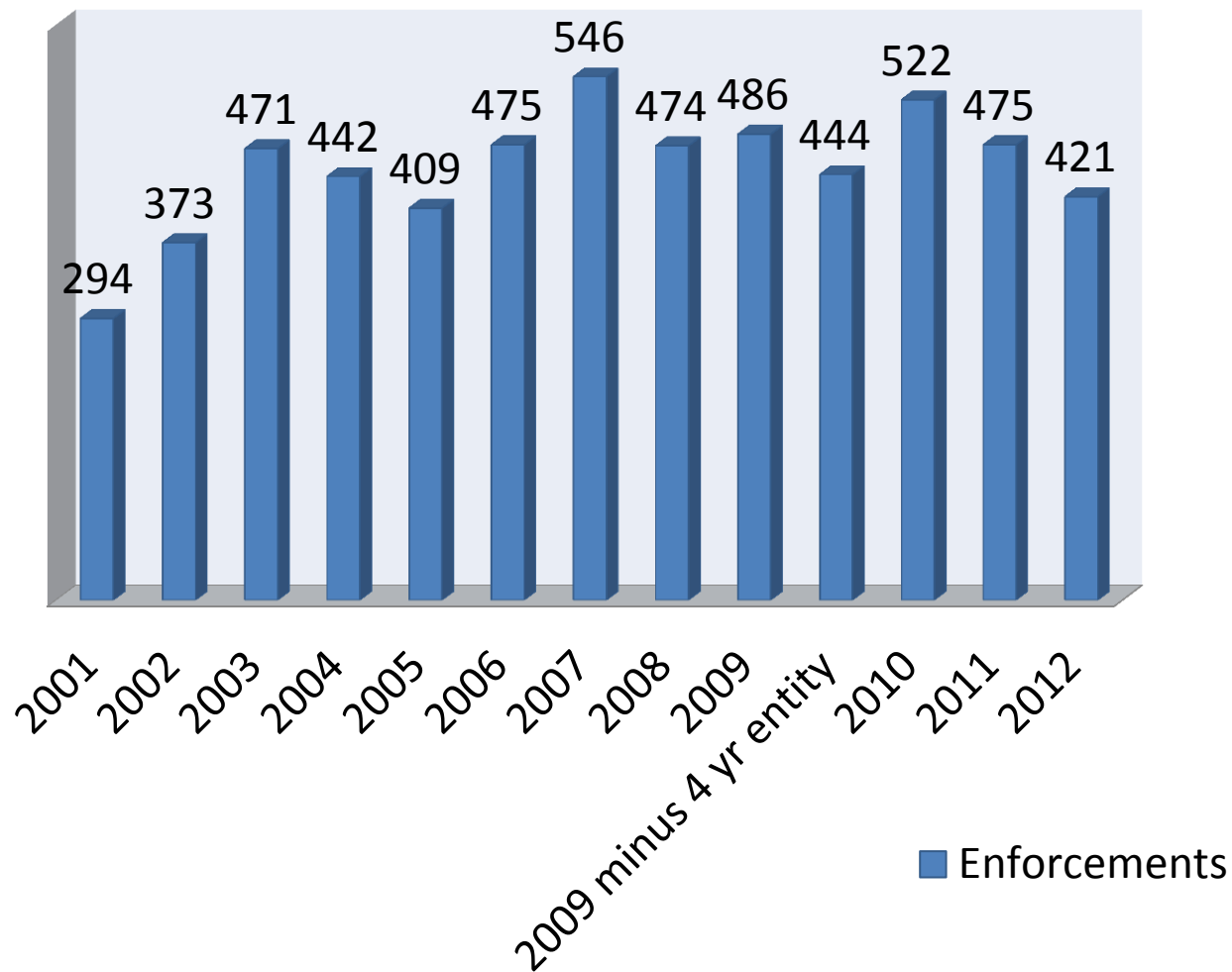


# Survey Results





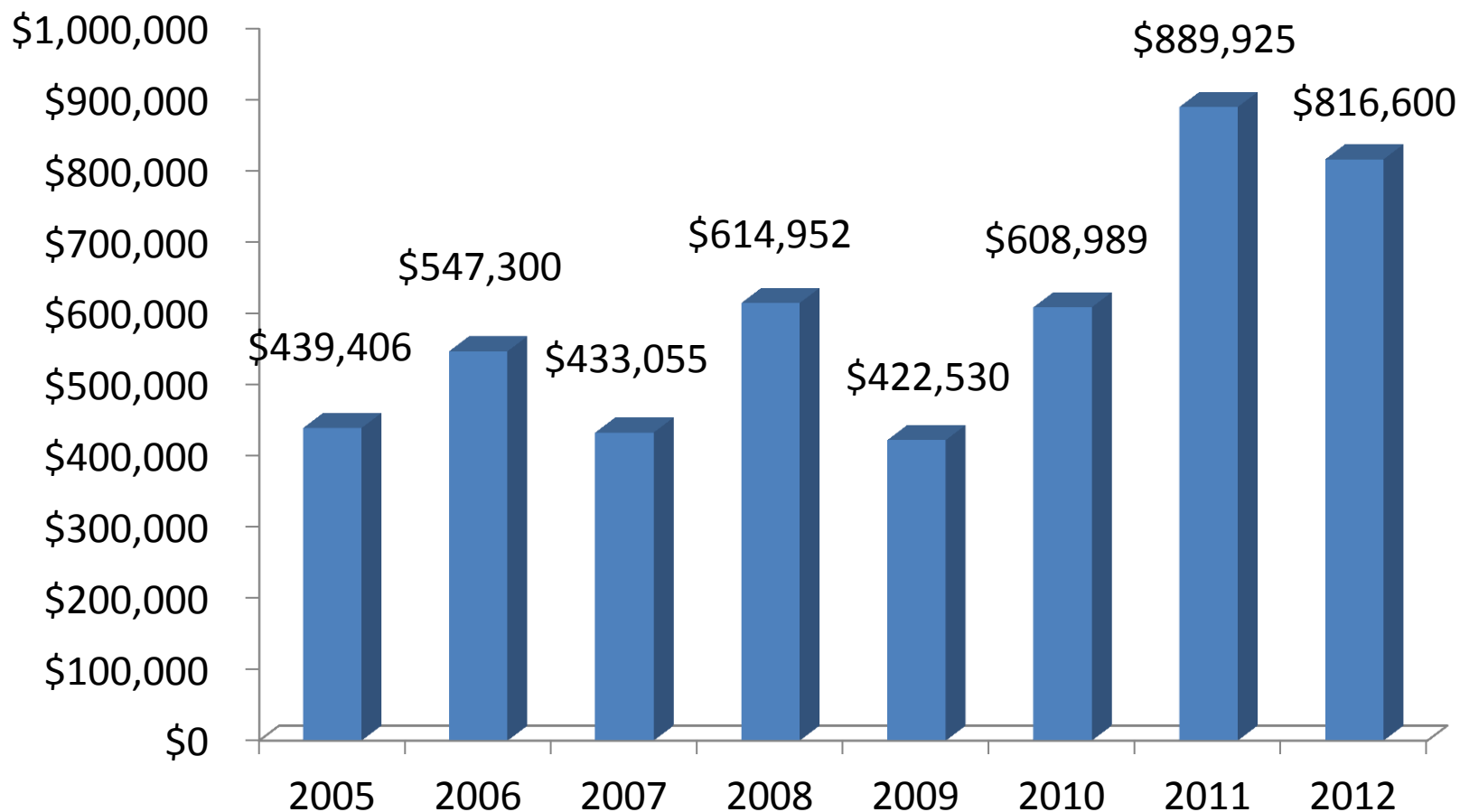
# AL Surveys with Enforcement





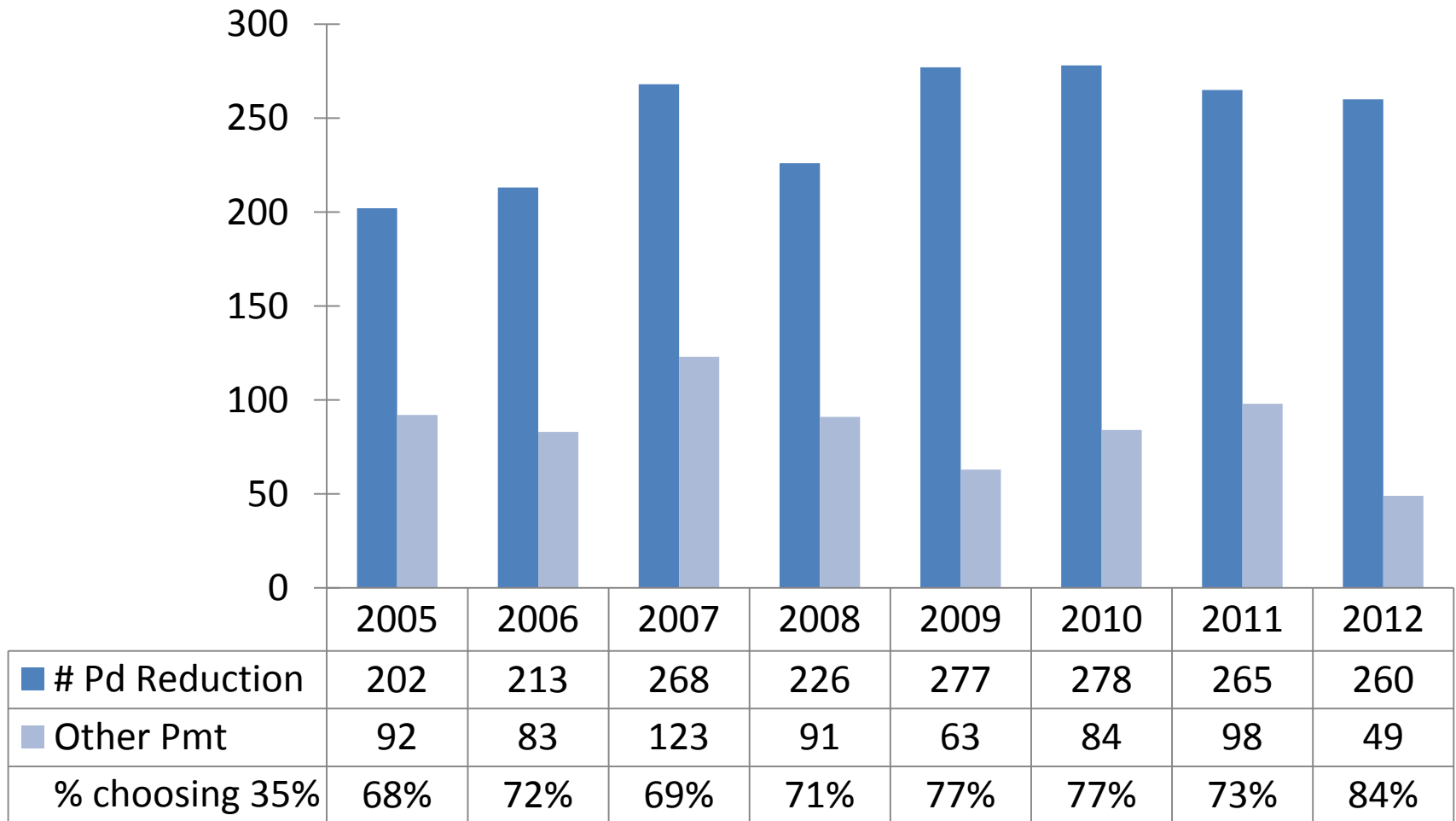


# Forfeiture Assessments



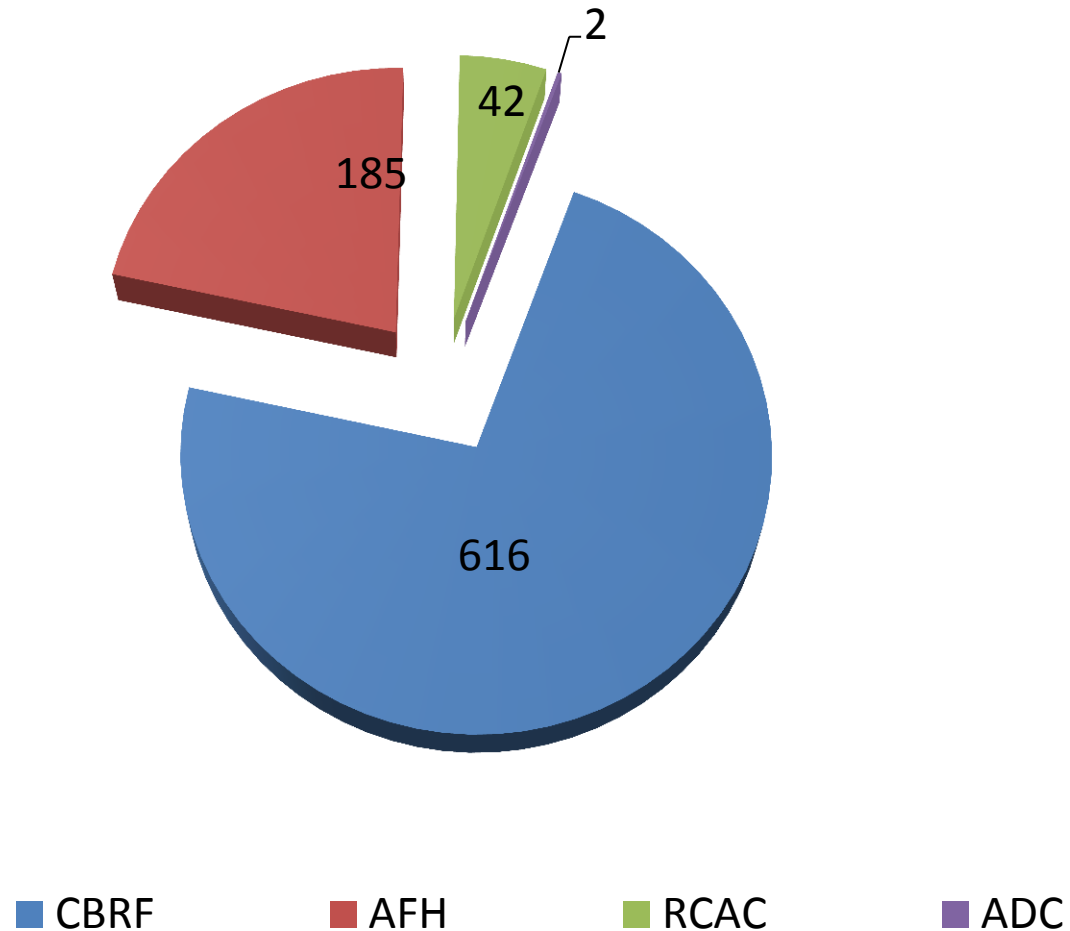


# 35% Forfeiture Reduction



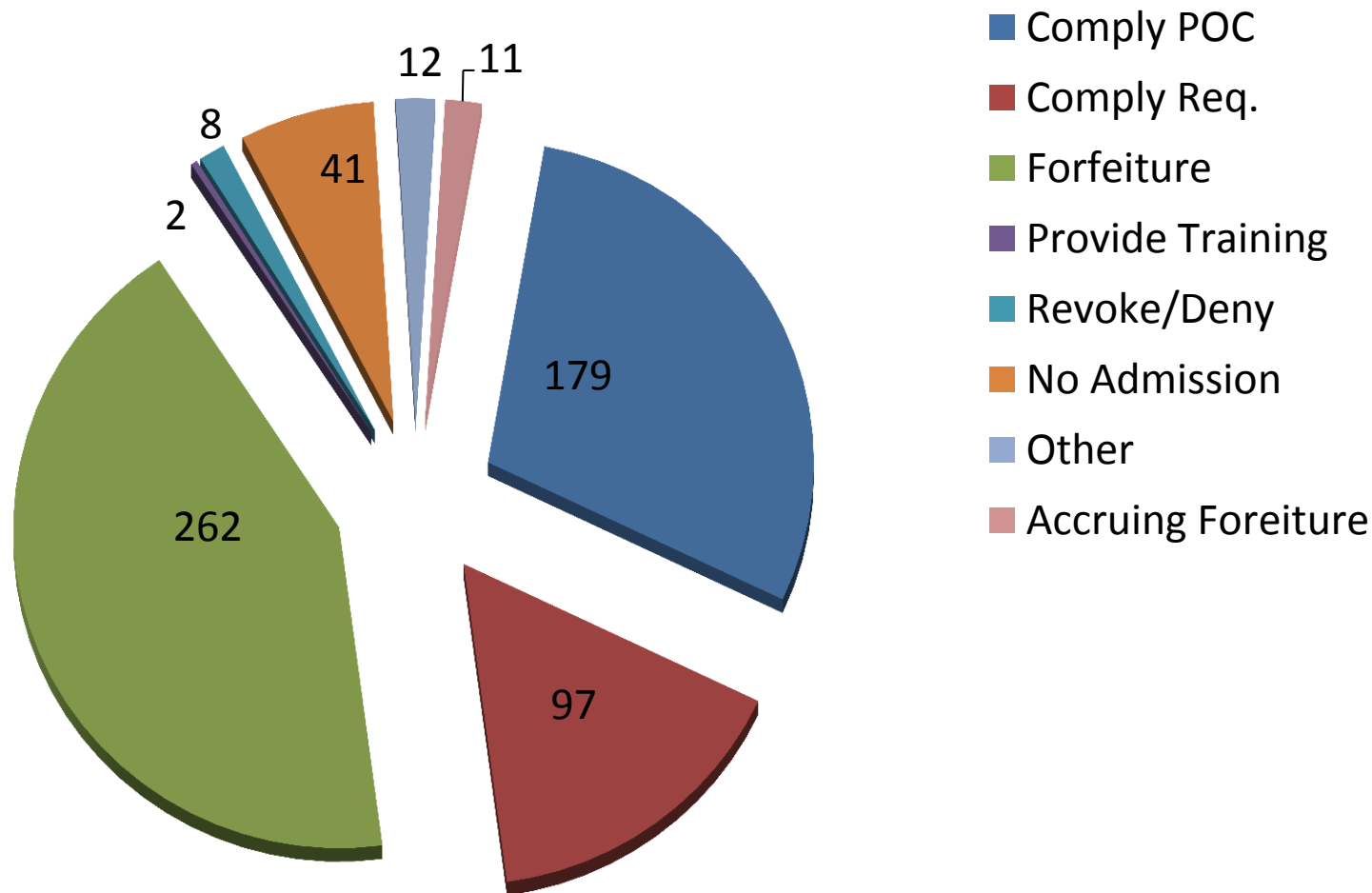


# Sanctions Imposed (845) CY 2012



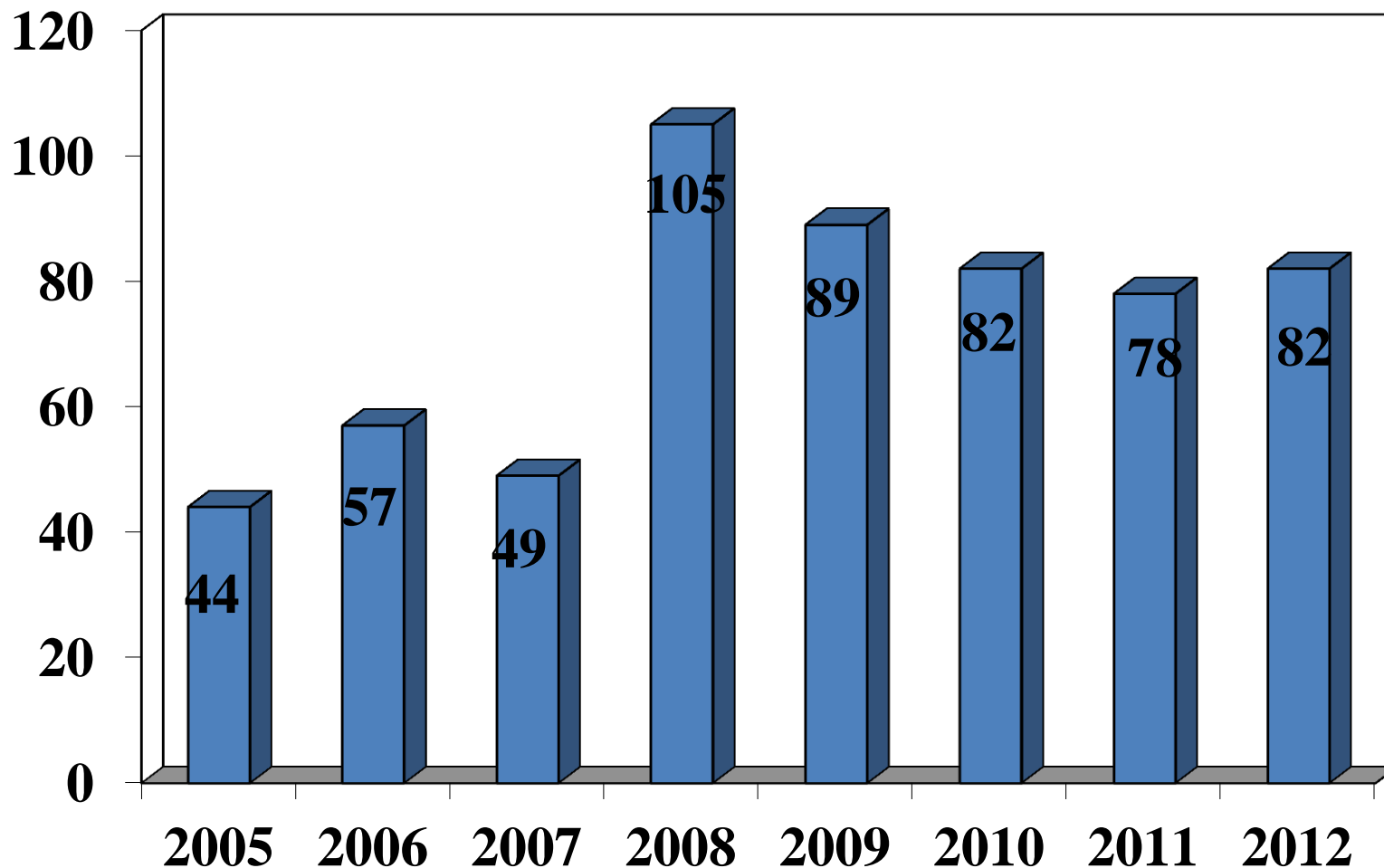


# Type of Sanctions per survey CY 2012



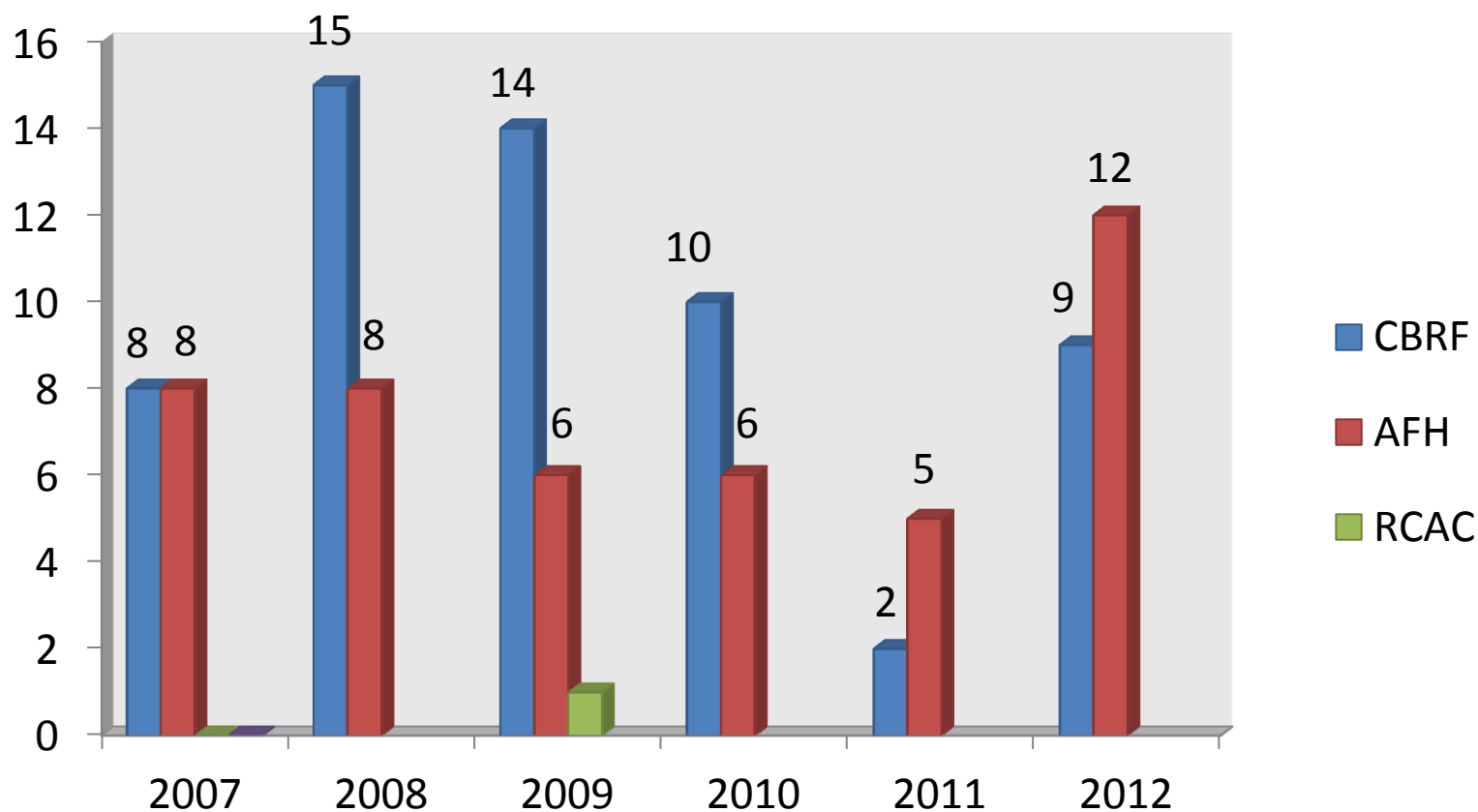


# No New Admission Orders



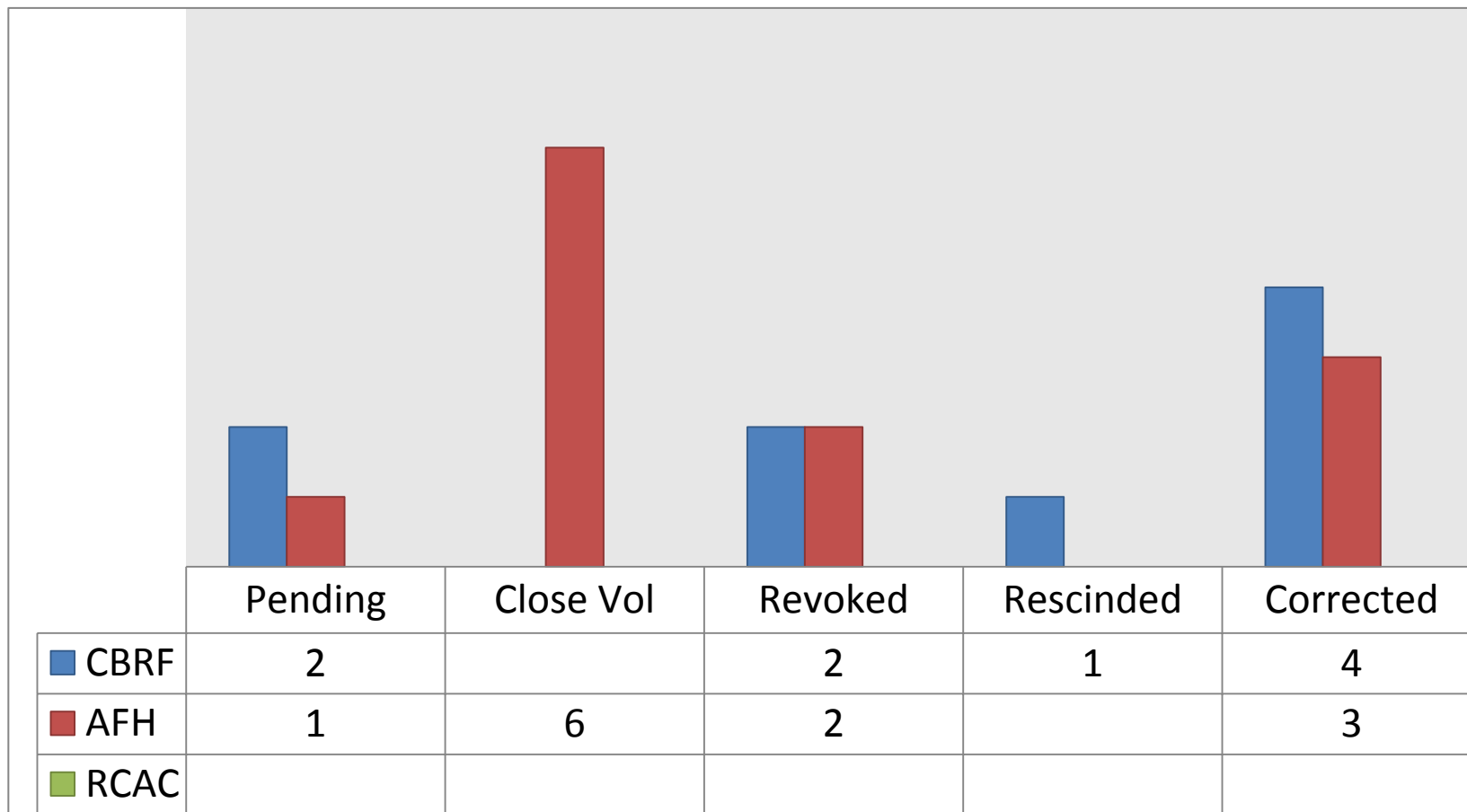


# Impending Revocations



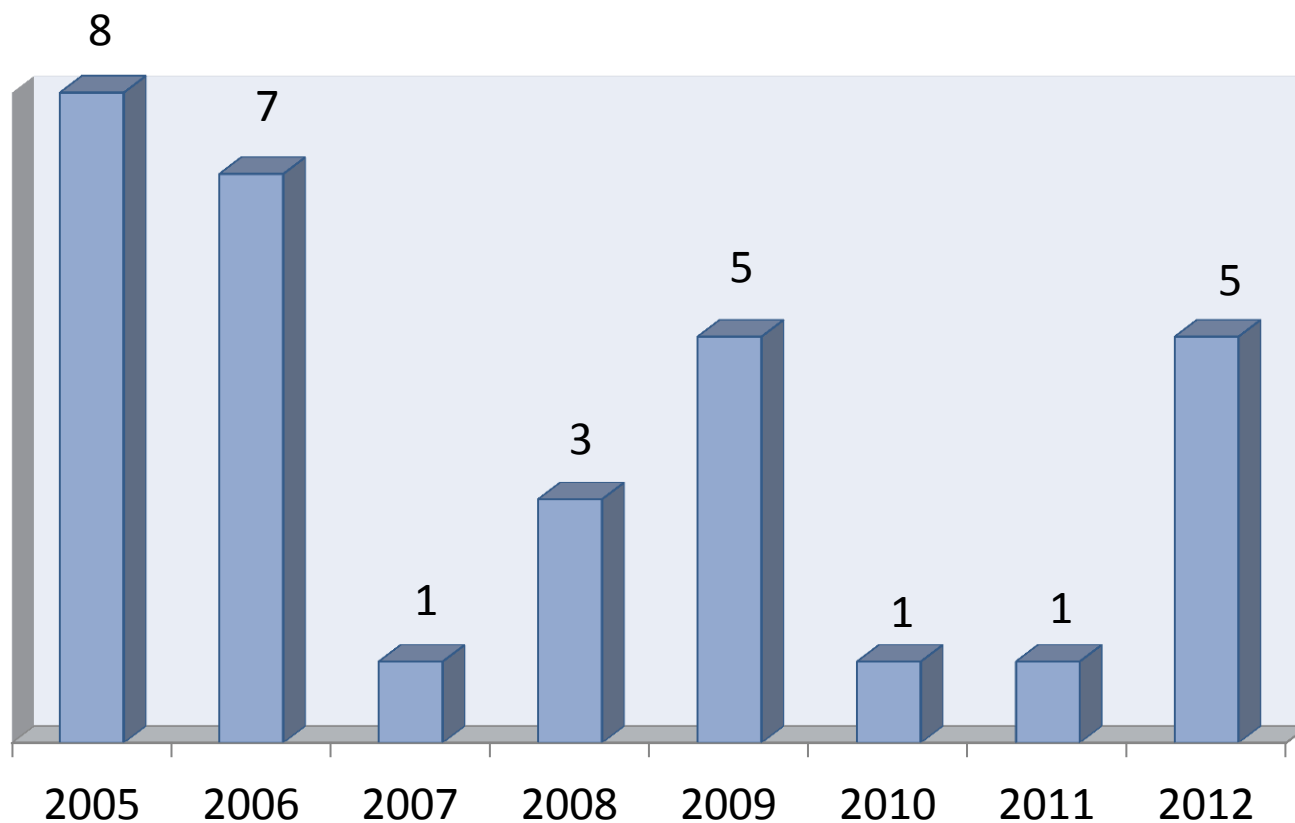


# Impending Revocations CY 2012





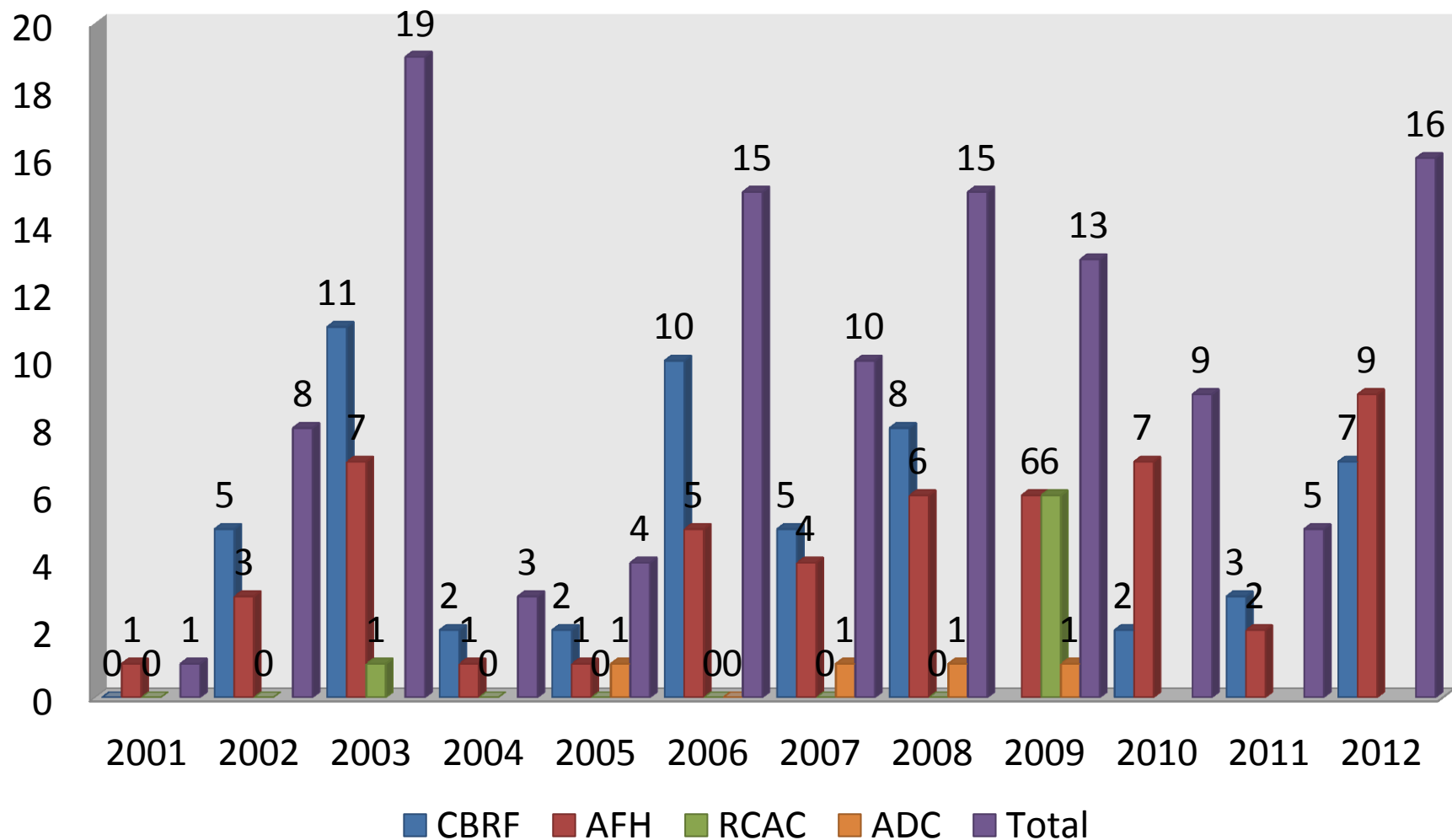
## Cease & Desist Orders Unlicensed Entity





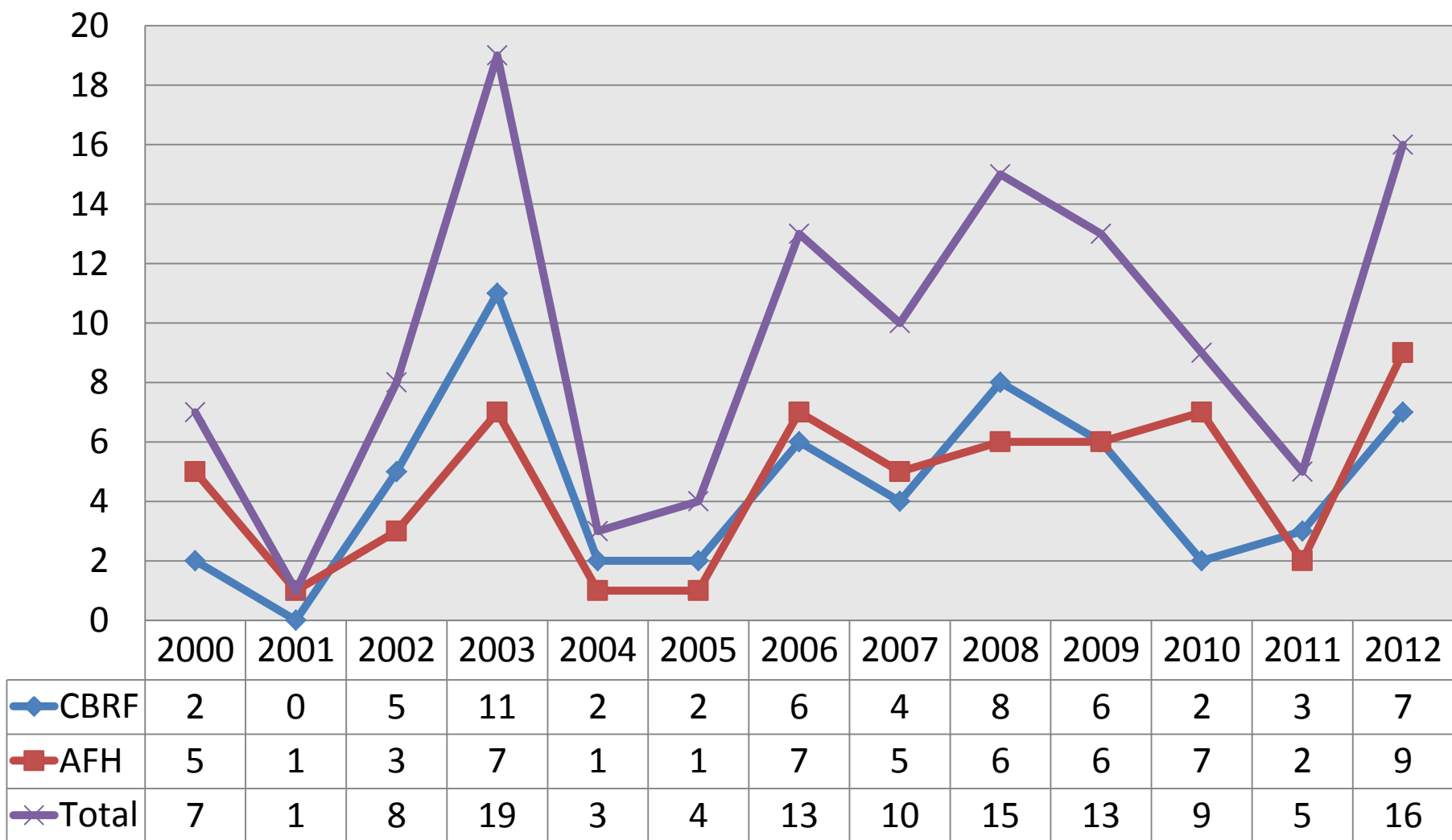


# Revocations



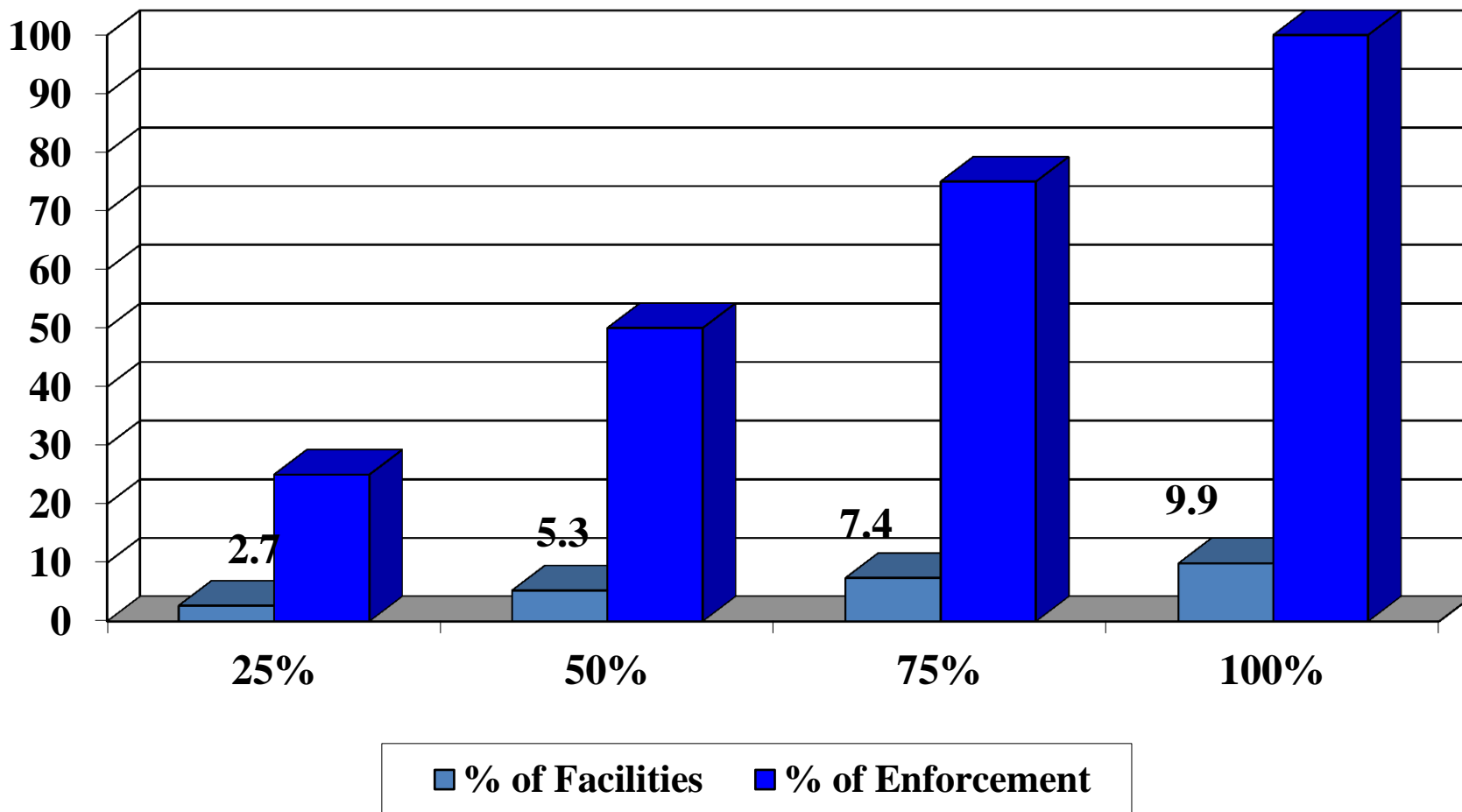


## Revocations Issued 2000-2012



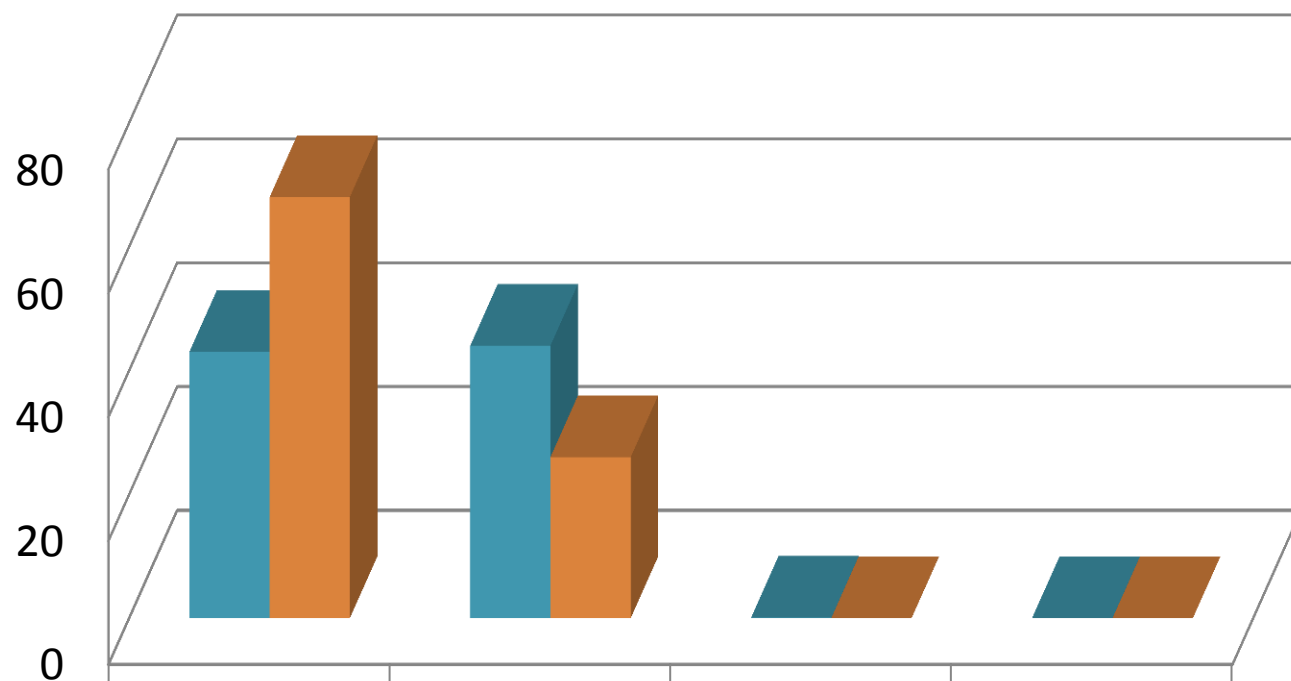


# % of Facilities making up % of Enforcement CY 2012





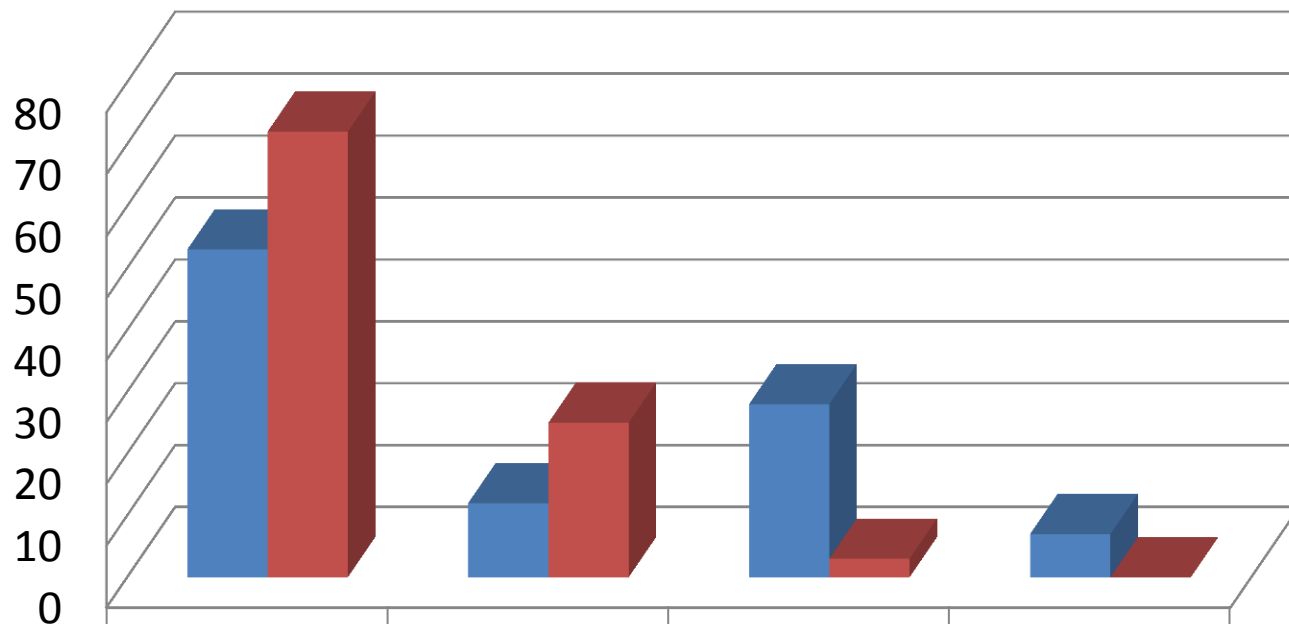
# % of Facilities vs. % Enforcement Surveys



<span style="color: #0070C0;">■</span> % of Facilities CY 2012	43	44	0.09	0.04
<span style="color: #C85130;">■</span> % Enforcement CY 2012	68	26	0.05	0.01



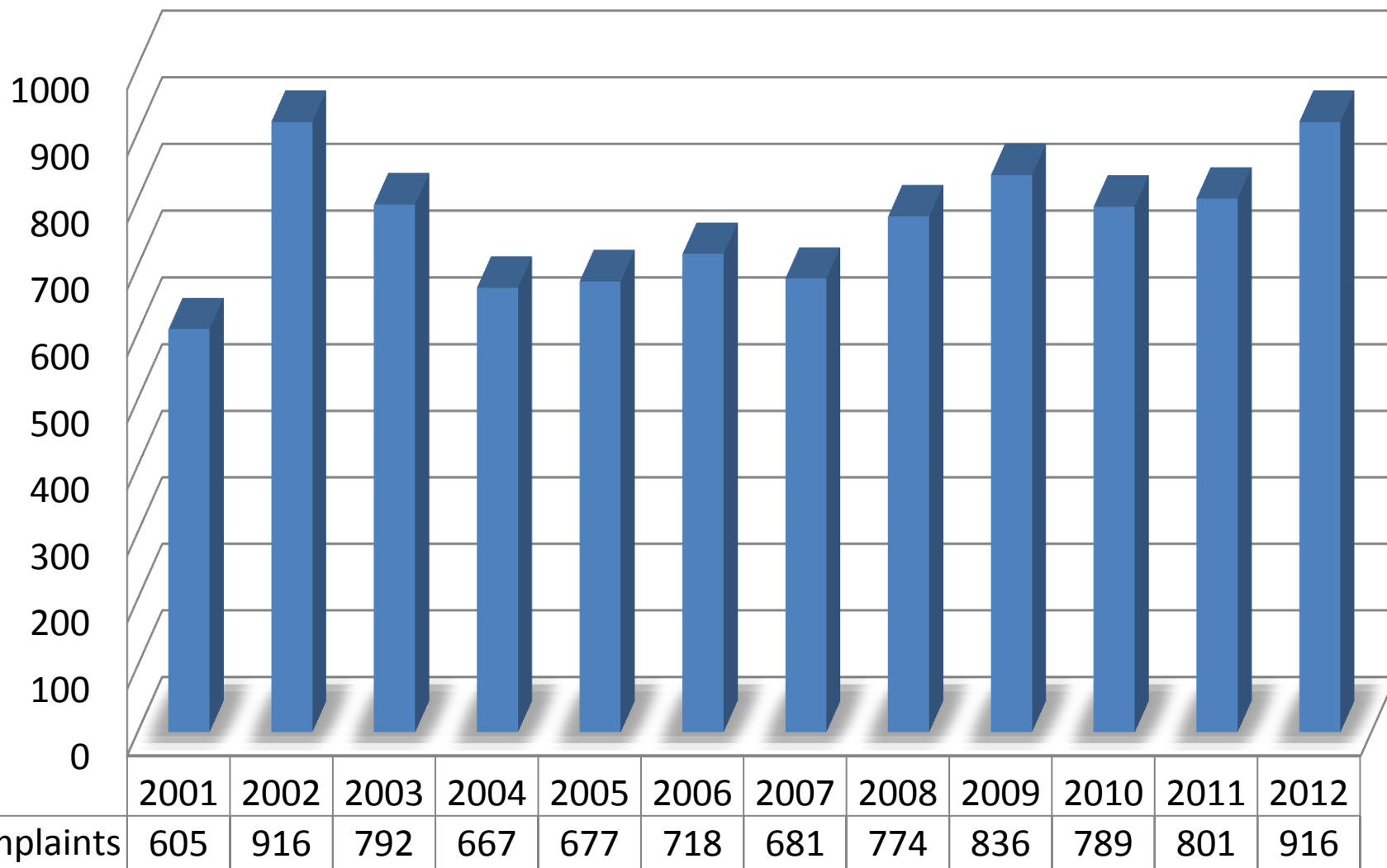
# % of Beds vs. % Enforcement Surveys



■ % of Beds CY 2012	CBRF	AFH	RCAC	ADC
	53	12	28	7
■ % Enforcement CY 2012	72	25	3	0

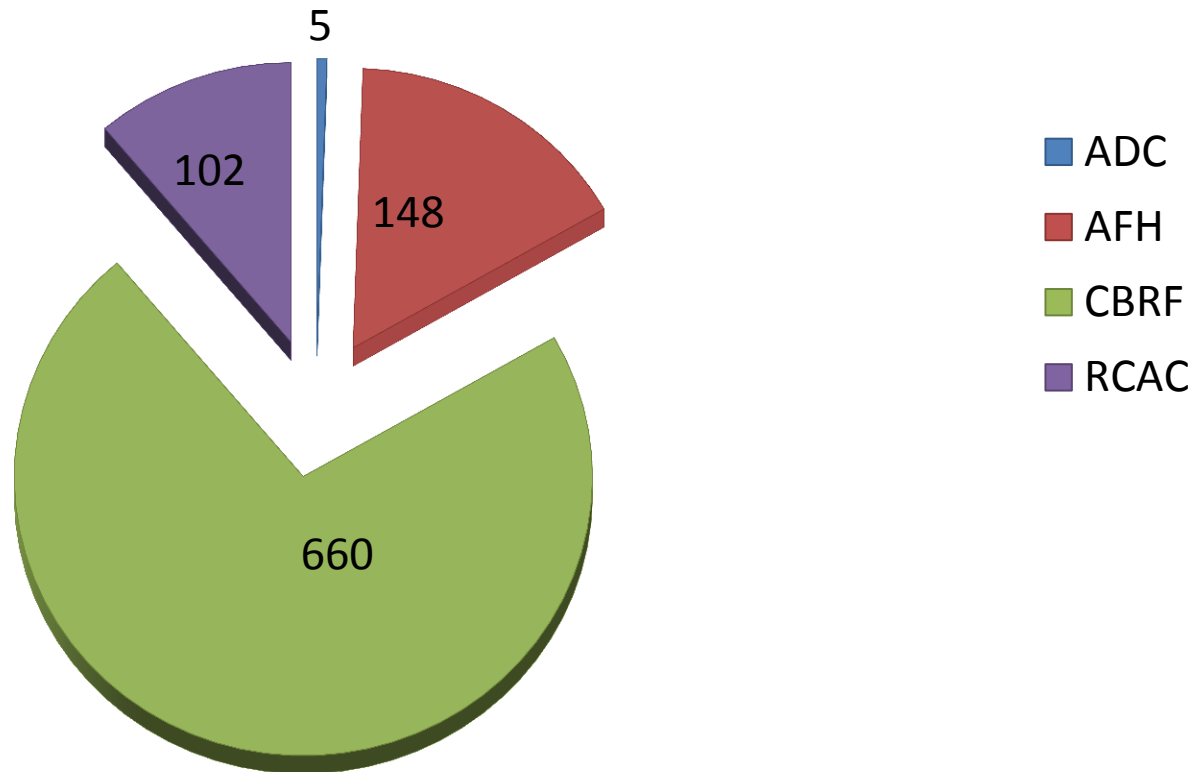


# Complaints Received





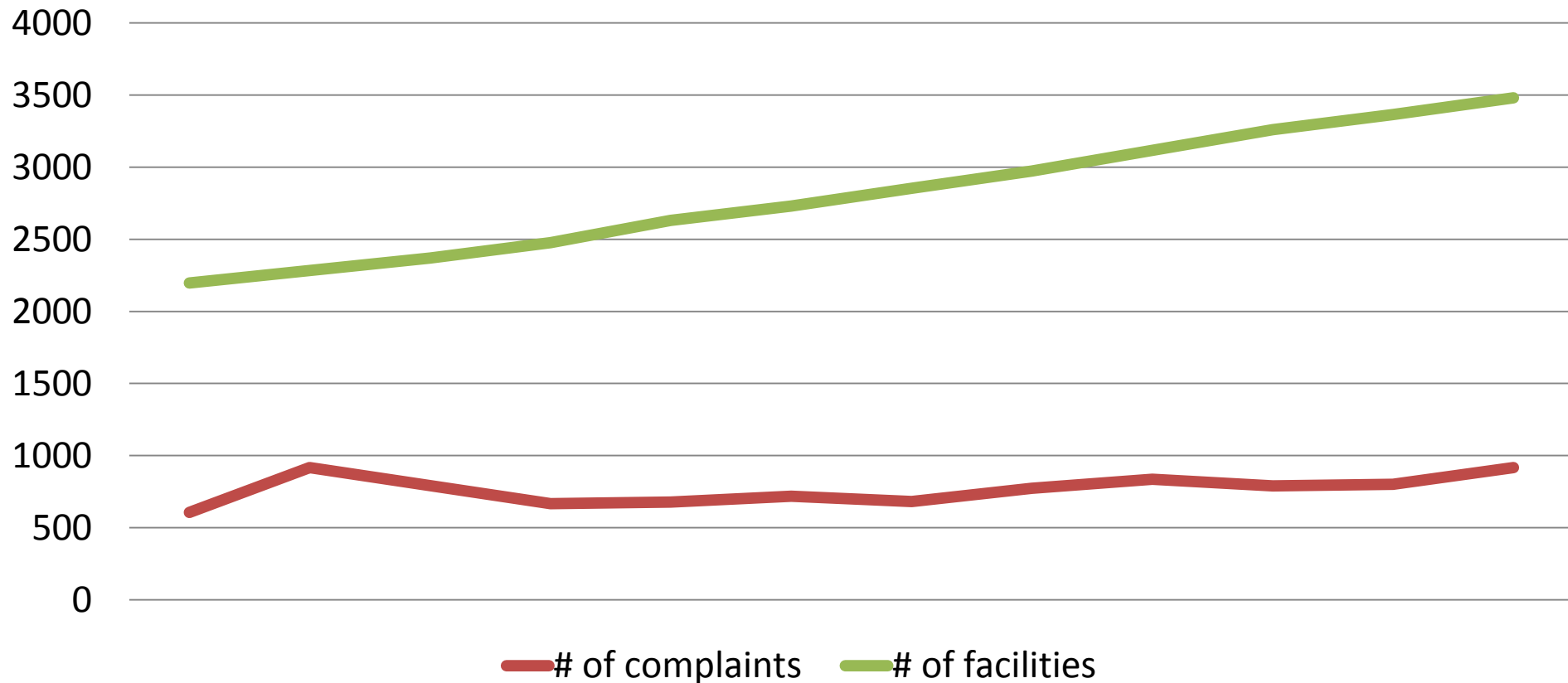
# Complaints Received CY 2012





# Complaints vs. Growth

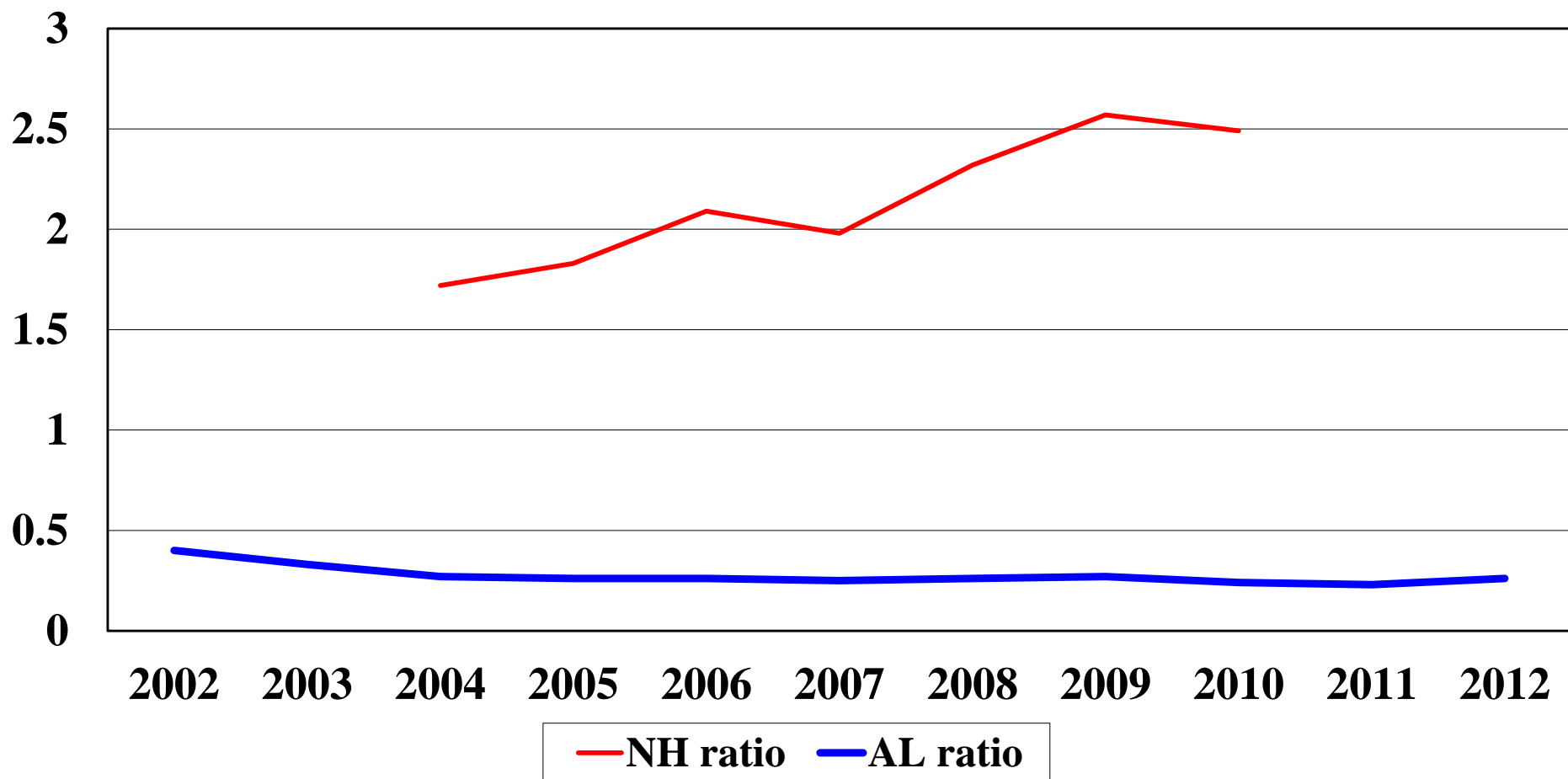
CY 2012







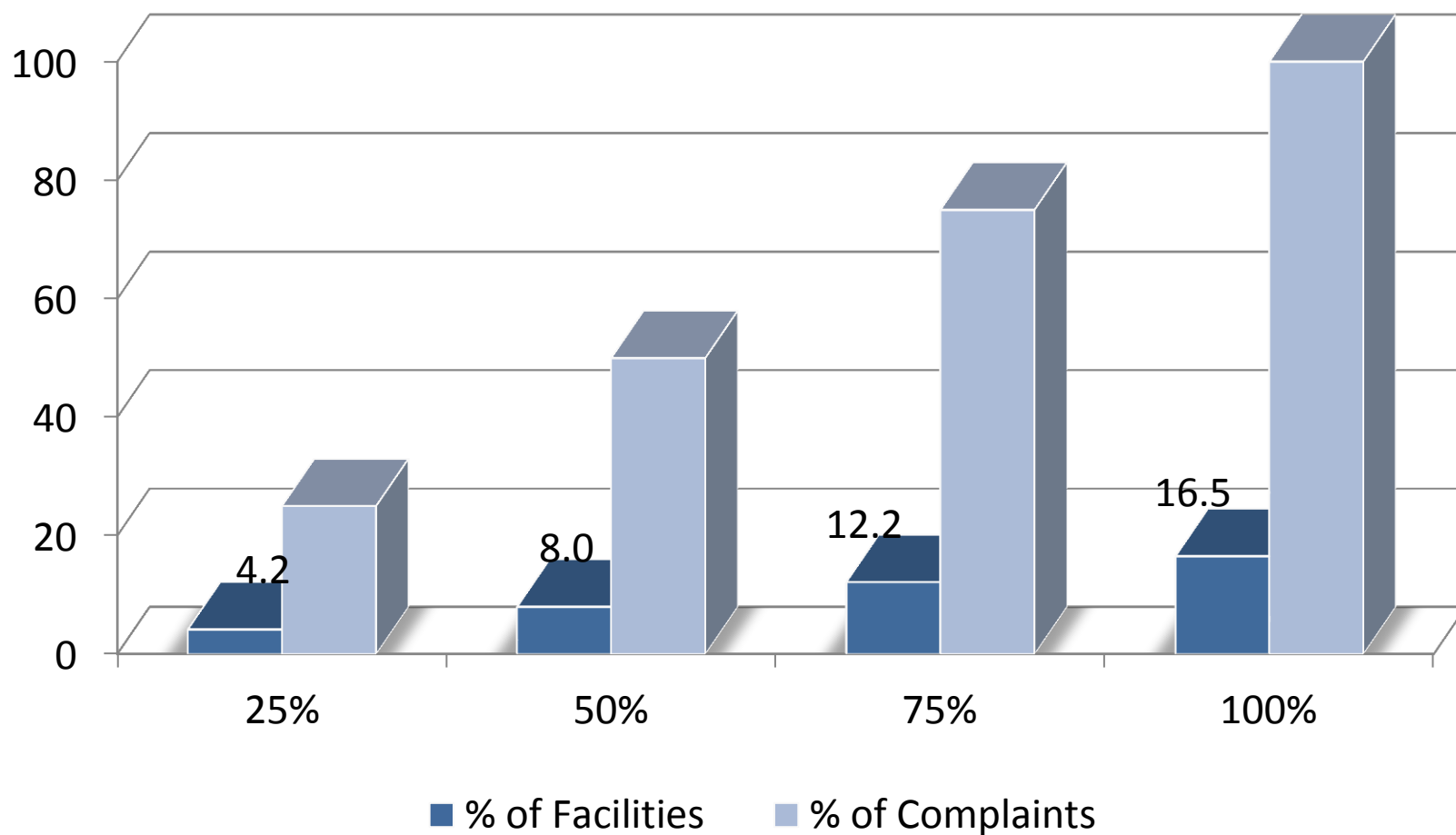
# Ratio of Complaints to Facilities





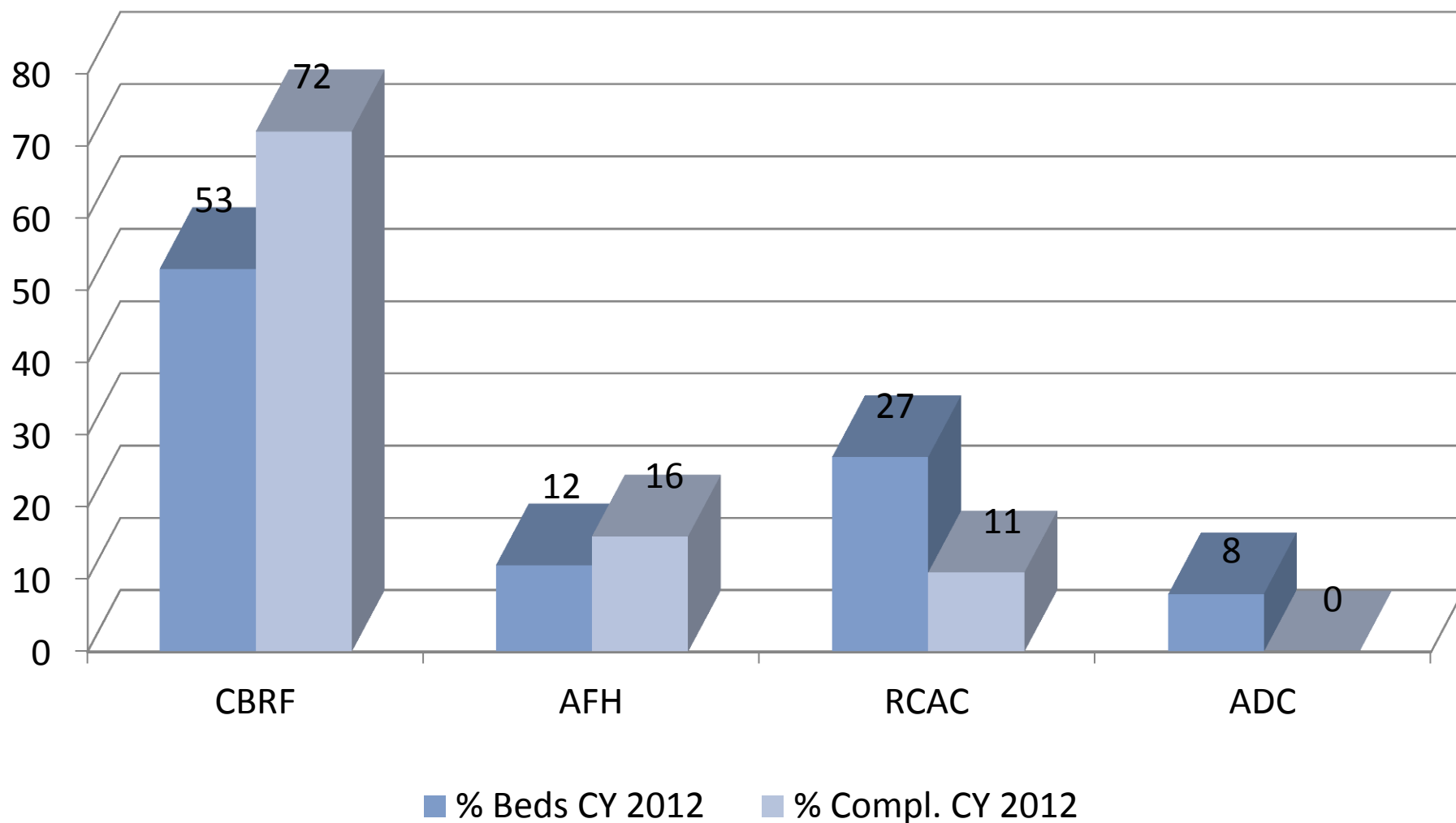
## % of Facilities making up vs.% of Complaints

**CY 2012**



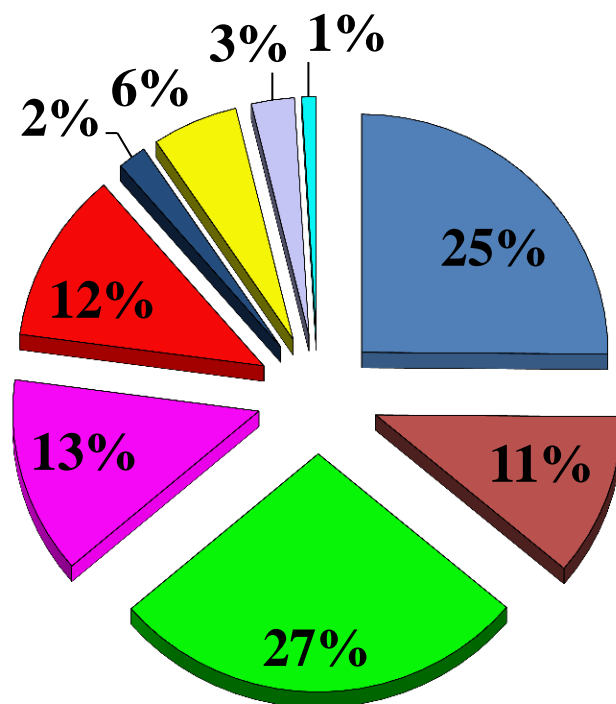


## % of Beds vs. % Complaints Received





# Source of Complaint CY 2012



- Anonymous
- Public Official
- Relative/Guardian
- Current Employee
- Former Employee
- Medical
- Citizen
- Resident
- Advocate



# Ranking – Subject areas complaint investigations

	2006	2007	2008	2009	2010	2011	2012
Administration	2	2	2	1	1	2	2
Medications	3	3	1	3	3	3	3
Resident Rights	1	1	3	2	2	1	1
Program Services	4	4	4	4	4	5	4
Nutrition & Food	6	8	6	6	8	4	6
Staff Adequacy	7	7	5	8	6	7	5
Supervision	11	6	8	5	5	8	7
Staff Training	12	11	9	7	7	6	8



# Ranking – Subject areas complaint investigations

	2006	2007	2008	2009	2010	2011	2012
Abuse	9	5	7	9	11	12	12
Homelike environment	10	9	10	10	10	10	9
Physical Plant & Hazards	8	12	13	11	12	11	10
Res. Behavior/ Facility practice	5	10	11	13	13	13	11
Quality of Life	13	13	12	12	9	9	13
Admission/ Discharge	14	14	14	14	14	14	14
License capacity or class	15	16	15	15	15	15	15
Restraints	16	15	16	16	16	16	16

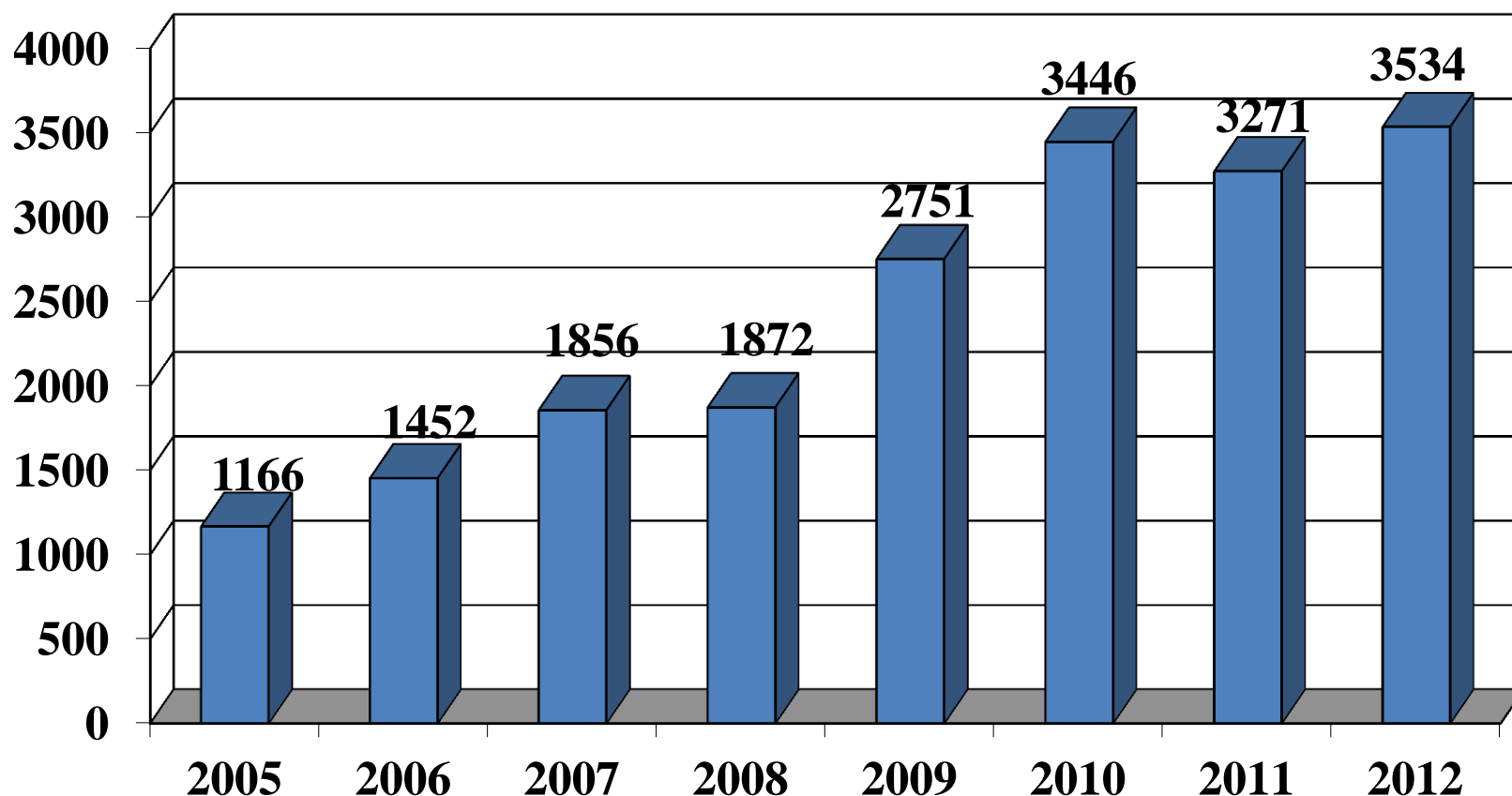


# Source of Complaint vs. Substantiation CY 2012

<b>Source</b>	<b>% rec. &amp; Inv.</b>	<b>% substantiated</b>
Anonymous	21	30
Public Official	16	55
Relative/Guardian	28	51
Current Employee	13	40
Former Employee	12	42
Advocate	01	67
Citizen	02	33
Medical	04	71
Resident	<u>03</u>	<u>17</u>
	<b>100%</b>	<b>44%</b>



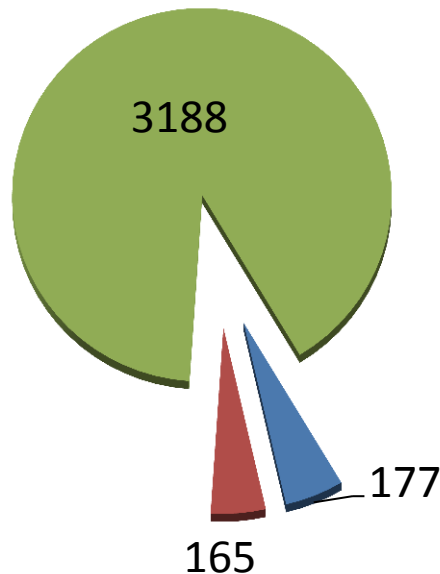
# Self Reports Received







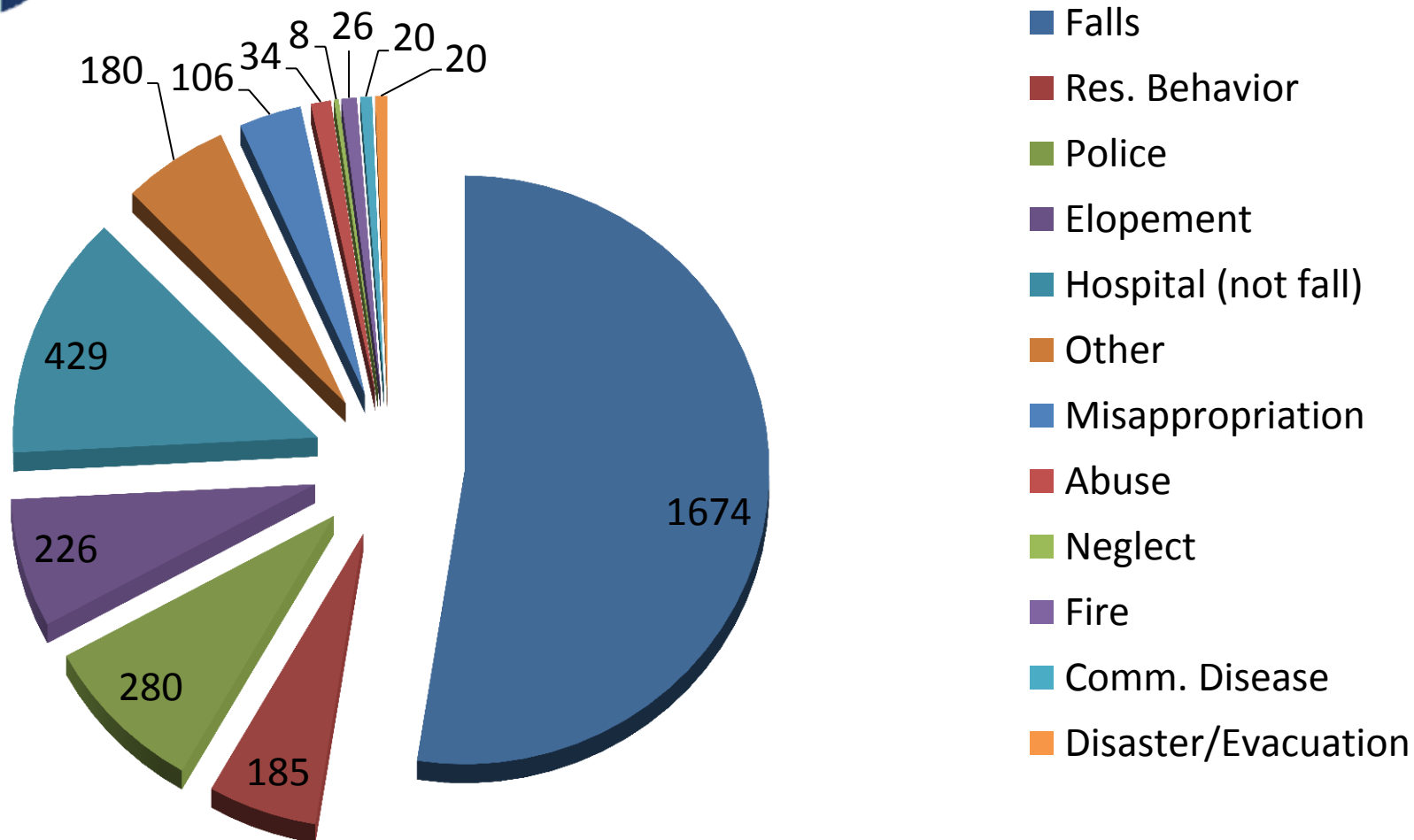
# Self Reports Received - CY 2012 (3,534)



■ Open Investigation   ■ Review next visit   ■ File

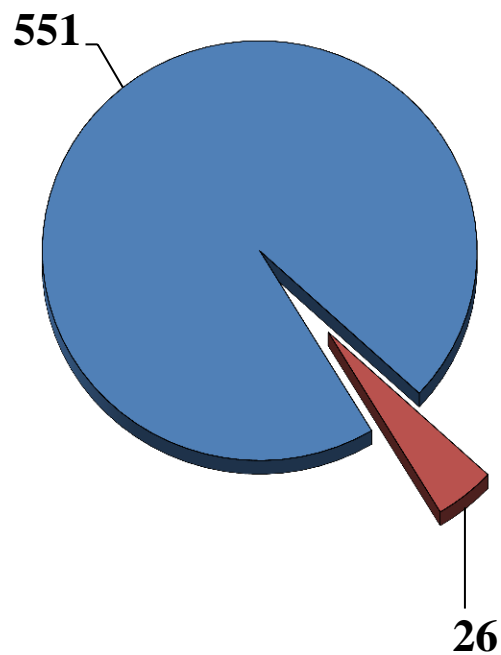


# Self Reports by # CY 2012





# Self Reports Investigated - CY 2012 (577)





# **Assisted Living Regulatory Activity CY 2012**

- Standard Surveys 566
- Initial Surveys 388
- Abbreviated 272
- Other (Enf. VV & Complaint) 785



# Abbreviated Surveys CY 2012

- No Deficiency Survey - 62%
- Statement of Deficiency - 38%

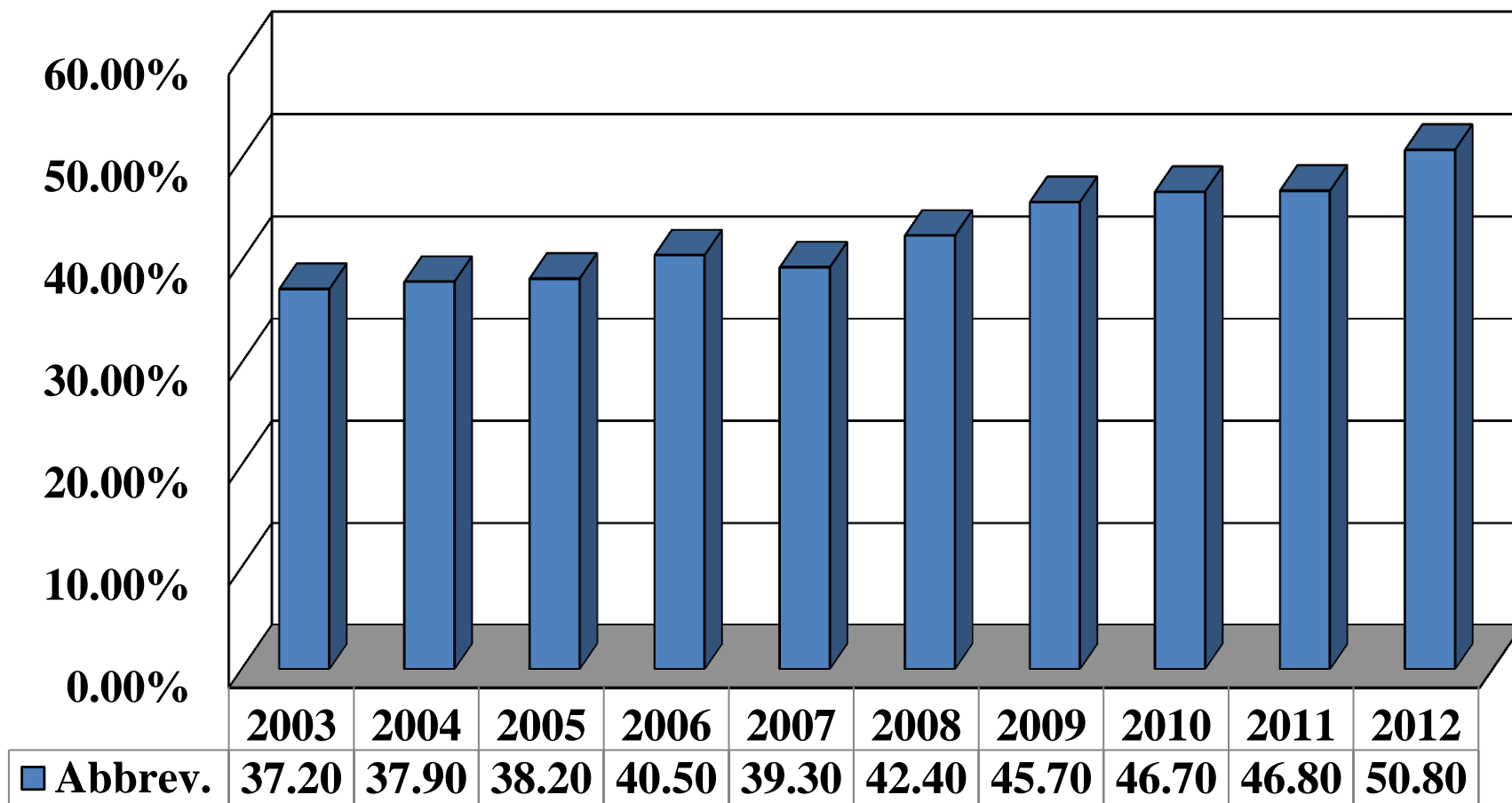


# Facilities Qualifying for Abbreviated Surveys – CY 2012

• Adult Day Care	59.0%
• Adult Family Homes	50.5%
• Community Based Residential Facility	47.6%
• Residential Care Apartment Complex	<u>53.5%</u>
• Statewide	50.8%



# Facilities Qualifying for an Abbreviated Survey





# **Wisconsin Coalition for Collaborative Excellence in Assisted Living (WCCEAL)**





# Internal Quality Assurance

- Essential to maintain quality!
- Structure, process and outcome measures used to evaluate quality





# **Less frequent reviews of communities with good compliance**

- **Criteria**
  - Community qualifies for an abbreviated survey and;
  - Community is a member of a major association in good standing (WALA, LeadingAge Wisconsin, WiCAL, RSA of WI) and;
  - Community has implemented a “provider association”, “department approved”, quality improvement program that adopts standards of practice and;
  - Community has signed a “self attestation” document that they are in substantial compliance of the regulations.



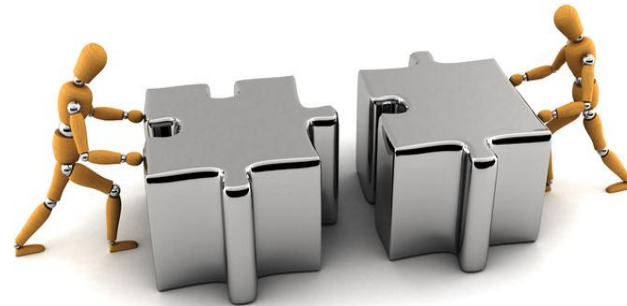
# **WI Coalition for Collaborative Excellence in Assisted Living**

- Provider Association Sponsored
- Department Approved
- Comprehensive QA & QI
- Includes the following Guiding Values....



# Provider Association Support

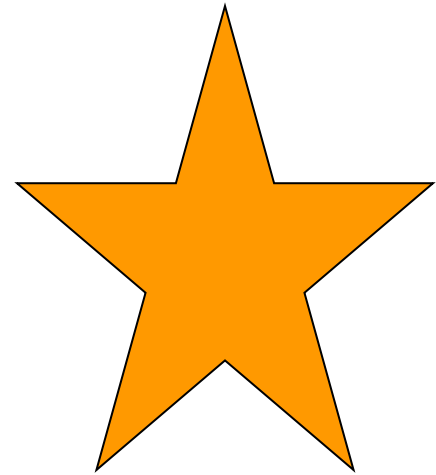
- Training
- Mentoring
- Peer Review
- Resources
- Consultation





# Standards of Practice

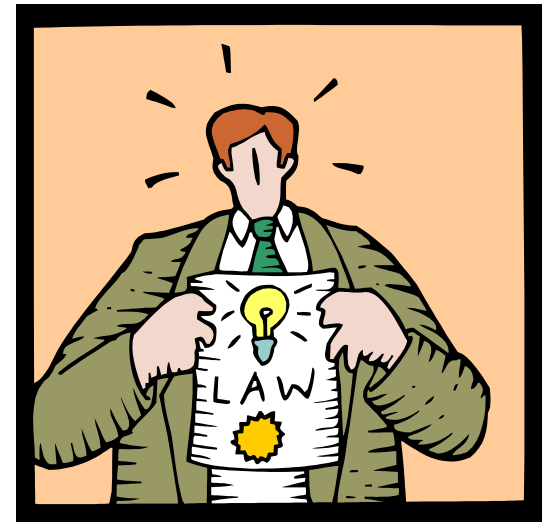
- ADLs
- Diabetes
- Dementia
- Pain
- Pressure ulcers
- Person-centered care
- Abuse, neglect
- Falls
- Mental Health
- Infection control
- Emergency Management
- Medication
- Food safety





# Regulatory Compliance

- WI Administrative Code
- State Statute





# Activity & Community Involvement

- Active
- Involved
- Connected





# Consumer & Advocate Feedback

- Residents/Tenants
- Families/legal rep.
- Staff
- Case Managers/Funding
- Councils, surveys, grievance process, questionnaires







# Leadership & Workforce Support

- Leaders
- Competency
- Professional growth
- Recruitment
- Retention





# Continuous Quality Improvement

- Benchmarks
- Data Collection
- Performance analysis
- Continuous





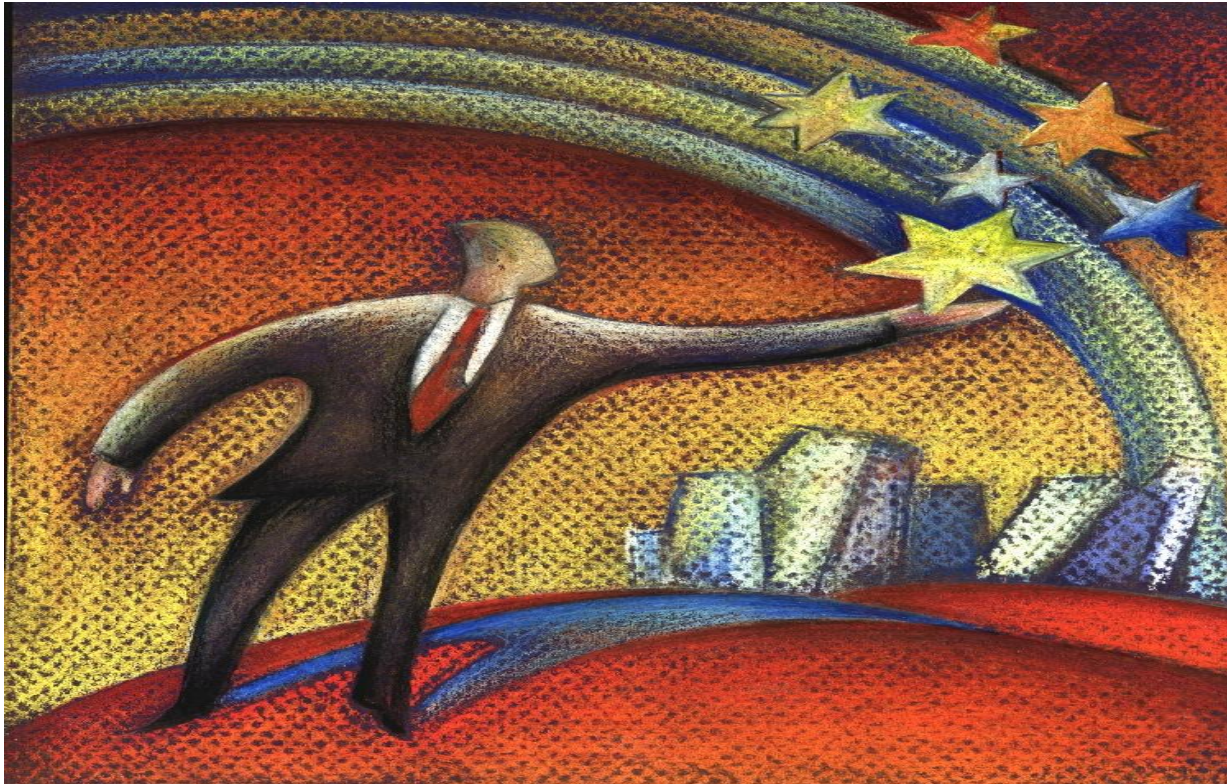
# Commitment

- Organizational commitment
- Licensee self attestation





# Goals 2013- 2014







# Reduce Serious Violations





# Proactive Compliance





# Continue and Expand Collaboration





**Make more information available on the web – statistics, trends, etc.**







# Support and Encourage Innovation





# Use data to effect positive change





# Our Vision

- Reasonable and consistent
- Promotes public health and safety
- Fosters quality of life
- Promotes provider responsibility
- Promotes regulatory agency responsibility
- Fosters collaboration
- Supports consumer awareness, responsibility and satisfaction
- Promotes consumer independence and choice
- Protects vulnerable adults



# **Stories ....**

## **(examples of enforcement actions)**





# Thank You

## **Wisconsin Division of Quality Assurance**

The Division of Quality Assurance (DQA), is responsible for assuring the safety, welfare and health of persons using health and community care provider services in Wisconsin.

**DQA - Working to Protect - Promote - Provide Quality in Wisconsin's Health Care Facilities**

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